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How Do Tier One Public Research Universities Build Relationships with Latino Alumni Major Gift Donors

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How Do Tier One Public Research Universities Build Relationships with Latino Alumni Major Gift Donors

by

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Dedication

I dedicate my dissertation to my parents, Mary Helen and Rodolfo Guzman, and my antepasados. I may be the first official “PhD” in the family but will not be the last.

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Abstract

How Do Tier One Public Research Universities Build Relationships with Latino Alumni Major Gift Donors

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Alumni giving is a primary revenue stream for higher education institutions (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). Conley and Tempel (2006) state that gifts from alumni have emerged as the primary vehicle to give institutions an advantage over other colleges. In addition, large gifts from alumni, such as those at a level of $25,000 or more, are critical to higher education institutions (Troop, 2014). The National Center for Education Statistics (2014) reports that from 1976 to 2012, Latino enrollment at public institutions grew faster than non-Latino whites, African Americans, and Asian Americans. Considering this growth, and that higher education institutions rely so heavily on philanthropy to remain competitive, colleges and universities must consider the impact that Latino philanthropy will have on their institutions. The purpose of this exploratory, qualitative study is to examine how development personnel at public higher education institutions cultivate relationships with Latino alumni. The findings indicate that relationships with Latino major-gift-level alumni are built through one-on-one meetings, providing opportunities for Latino alumni to serve on leadership committees and join affinity groups, and disseminating an annual report that acknowledges donors' contributions. Strong relationships also are built by the implementation of certain techniques, including: gaining and maintaining trust of the alumni and providing specialized giving opportunities for them. The findings also suggest that the failure to engage major-gift-level Latino

alumni in the Gallo (2012, 2013) IA cycle of engagement, compromises an institution's ability to successfully cultivate and solicit Latino alumni in order to ensure that their support will help offset the lack of federal and state funding that is sure to persist in the future (Conley and Tempel, 2006).

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CHAPTER ONE: INTRODUCTION

Alumni giving is a primary revenue stream for higher education institutions (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). Conley and Tempel (2006) state that gifts from alumni have emerged as the primary vehicle to give institutions an advantage over other colleges. In addition, large gifts from alumni, such as those at a level of $25,000 or more, are critical to higher education institutions (Troop, 2014). Considering that universities are rather dependent on alumni giving, and that student enrollment at higher education institutions is diversifying—the National Center for Education (2014) states that Latino students are the fastest growing group of all students—I posit that specific attention should be given to how this population is cultivated for major gifts to universities and colleges. Therefore, the purpose of this exploratory, qualitative study is to examine how development personnel at public higher education institutions cultivate relationships with Latino alumni. Specifically, I selected a four-year public research institution as a case study for my research.

The study is organized in five chapters: an introduction, a literature review, the methodology for the study, the results, and a discussion of the results. The literature review includes: a history of and review of studies exploring Latino philanthropy; and a brief review of studies related to alumni giving in higher education. The chapter closes with a summary of how the proposed study addresses gaps in the literature. Chapter three of the proposal relays the methodology I use to conduct the proposed study. Chapter four presents the results of the study and chapter five discusses these results and presents recommendations for future research.

Background Information

Since the 1990s, the cost of higher education has increased dramatically (Archibald & Feldman, 2008; Winston, 1997, 1998). Conversely, state support of universities and colleges has

significantly decreased (American Academy of Arts and Sciences, 2015; Delaney, 2014; Heller, 2006; State Higher Education Executive Officers Association, 2015). In 2014, forty-eight states spent twenty percent less on higher education in comparison to pre-recession levels in 2008 (State Higher Education Executive Officers Association, 2015). Moreover, according to the Lincoln Project, state support for public higher education institutions per full-time student is nearly 30% less in 2014 when compared to 2000. Institutions are filling in funding gaps with private support, specifically gifts from alumni (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). As a result, Conley and Tempel (2006) state that advancement, or fundraising, programs, have become a critical part of most public and private universities and colleges.

In fact, alumni giving has become a primary revenue stream not only to offset the reduction in state appropriations but also to reduce the overall costs of higher education (Blackbaud, 2013; Council on Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). According to a recent survey by the Council for Aid to Education, charitable donations to colleges reached $40.30 billion in 2015. This amount was up from $38 billion in 2014 and $33.8 billion in 2013. Conley & Tempel (2006) state that gifts from alumni give institutions a great advantage over other institutions.

Remarkably, in 2015, eight gifts of $100 million or more each were reported by the Council for Aid to Education. These eight gifts totaled $1.44 billion and were directed to only four universities in the United States. Troop (2014) assert that these types of mega and major gifts comprise a critical revenue source for universities in contrast to other types of nonprofit organizations. He states that higher education relies more on major gifts than any other nonprofit entity, including hospitals and large charities like the American Red Cross.

Brief History of Philanthropy as Related to Higher Education

Historically, philanthropy had a primary role in shaping the U.S. higher education system. Hall (1992) states that "no single force is more responsible for the emergence of the modern university in America than giving by individuals and foundations" (as cited Walton & Gasman, 2008, p. xxiv). Today, approximately 72,000 foundations, more than half of which were created since the 1990s, have combined assets of $615 billion and contribute $30 and $40 billion annually (Bernstein, 2014). Conversely, nearly 2,000 private institutions and more than 1,500 public two- and four-year colleges and universities in the U.S. compete for this funding as well as for support from individual donors.

Giving by individuals and foundations also helped found institutions of higher education. For example, a gift of property from a bequest aided in the creation of Rice University in Houston, Texas. Gifts also support specific projects or provide unrestricted funds such as the gift made to Harvard College in 1906 of $113,777 by its class of 1881. Bernstein (2014) and Curti & Nash (1965) state that most people believe that the roots of these philanthropic efforts began in Europe—Harvard College was established with funds from donors who lived in England—yet, providing financial support to higher education institutions has evolved into a tradition in the United States.

Philanthropy's Impact on Evolution of Higher Education. In addition to establishing specific universities and colleges, philanthropy also impacts the growth and evolution of higher education in general (Bernstein, 2014). In the past, women colleges and Historically Black Colleges and Universities originated from contributions from individual donors in contrast to public or church support. For example, a bequest of Sophia Smith established Smith College, one of the first all-women higher education institutions in the country. Financial support from White

industrialists and Black business owners created Black colleges in the South as well as the North during the 19th and 20th centuries (Gasman & Drezner, 2009). Individuals like Andrew Carnegie, George Foster Peabody, John D. Rockefeller Sr., and Julius Rosenwald helped fund various Historically Black Colleges and Universities (Bernstein, 2014).

Philanthropy also invested in research at public and private universities, specifically to tackle critical social and scientific problems (Bernstein, 2014). The scholar Steven Wheatley is cited by Bernstein (2014) as stating that foundations and universities became "one of [the] tighter institutional pairings in American public life" (p. 59). As a result of the investment from foundations and individuals, great research universities rose up, such as Stanford, University of Chicago, and Carnegie Mellon. These institutions strengthened their capacity to compete with the Ivy League institutions, such as Harvard and Yale.

Individual donor support also influenced pedagogy and professional training. For example, Bernstein (2014) discusses how philanthropists Grace Hoadley Dodge and philosopher Nicholas Murray Butler founded Teachers College, which became the institution that highly influenced curriculum design and teacher training at many colleges of education across the country. Dodge and Butler are responsible for the humanitarian approach taken by Teachers College in terms of its instruction and pedagogy. The curriculum is grounded in serving the poor and understanding human development. Many colleges and schools of education across the country refer to the approach taken by the Teachers College as a model for their institutional curriculum.

In addition to education, the fields of business, law, and management also were impacted by philanthropy. Bernstein (2014) states that the Ford, Rockefeller, and Carnegie foundations supported curriculum reform at major universities based on the "Flexner report," which was

supported by the Carnegie Foundation. The report, which actually focused on the medical field, caused a shift in "business education toward rationalistic, quantitative research," and impacted "training for managers…[which informed] contemporary business theories" (p. 46). Other areas and disciplines that were shaped by philanthropy are sociology, psychology, anthropology, molecular biology, social work, public health and research centers such as The National Research Council, the National Bureau for Economic Research, Social Sciences Research Council, and others (Bernstein, 2014, p. xxv). In addition, area studies, such as Latin American Studies, Asian Studies, and African Studies, were supported initially by the Ford, Rockefeller, and Carnegie foundations. Parmar (2012) argues that these four foundations used their financial leverage to "spread American values and power and hegemony across the world from the 1940s to 1970s" (pp. 84-85) through the creation of area studies, which not only trained U.S. citizens who majored in these interdisciplinary programs, but also influenced the neoconservative economics departments of University of California-Berkeley, Brown, Cornell, John Hopkins, and the University of Chicago. The foundations also heavily invested in research at prominent international universities such as the University of Indonesia, the University of Ibadan, and Catholic University (Santiago), and the University of Chile.

Evolution of Fundraising Programs at Higher Education Institutions. Regarding the evolution of fundraising programs at colleges and universities, Cutlip (1965) states that regular solicitation of funds from alumni did not begin until after World War I. In 1919, Harvard College catapulted fundraising practice into a formal profession when it hired John Price Jones to lead and implement a $15 million endowment campaign. Worth (2002) argues that the professionalization of fundraising moved from the hiring of fundraising firms to higher education institutions creating their own internal development operations to raise major gifts for their

universities. As a result, the chief development officer role at institutions quickly became a key member of the university presidents' administrative team. Ultimately, the development programs shifted from those that focused on alumni relations and collective or class gifts to programs that prioritized large, major gifts to the institution.

Impact of Philanthropy on Higher Education as a Field. In addition to initiating specific academic disciplines as well as jumpstarting fundraising programs at colleges and universities, philanthropy had a critical impact on the broader industry of higher education, specifically, the recruitment of faculty. According to Bernstein (2014), in 1904, Henry Smith Pritchett, former president of MIT and later the Carnegie Foundation for the Advancement of Teaching, conducted a study that found that a contribution of $10 million from the Carnegie Foundation to ninety-two colleges and universities could allow them to offer pensions to their professors. These pensions could allow universities to attract the best and brightest faculty. Yet, in order to receive these funds from the Carnegie Foundation, colleges and universities had to meet certain criteria. First, they needed to restrict enrollment to students who had completed high school units of work or what later would be called, "Carnegie units." The institutions also had to maintain a full-professor faculty of at least six individuals, manage an endowment of no less than $200,000, and could not be under sectarian governorship. The pension program did develop and received funding by the Carnegie Foundation. According to Bernstein (2014), the program was later named the Teachers Insurance and Annuity Association (TIAA), and in 2014, TIAA-CREF had over $453 billion in assets with 15,000 institutions and 3.7 million retirees.

In 1967, the Carnegie Foundation, later named the Carnegie Corporation, also created the Commission on Higher Education and hired Clark Kerr, the former chancellor of the University of California-Berkeley, to direct its operations. Kerr, who coined the phrase "multiuniversity,"

funded more than ninety studies regarding the higher education sector. These studies explored the effectiveness, quality and integrity of academic programs as well as the governance of higher education institutions and influenced approaches that universities would take toward building their institutions. The studies informed the creation of the Carnegie Classification of Institutions of Higher Education, which was used to evaluate and rank the quality of higher education institutions, and it is widely used today. Classifications and rankings are based on an institution's total income, allocation of resources to instruction, total number of students, size of the instructional staff, and ratio of students to faculty. These classifications guide the perceived prestige of institutions, which can motivate students to attend (Bernstein, 2014).

In the 1980s and 90s, Bernstein (2014) says that the funding focus shifted again with the creation of more conservative foundations such as the Bradley, Scaife, Smith Richardson, and Olin foundations. These entities supported endowed chairs in free-market economies and invested heavily in student networks, conferences, publications and fellowships that espoused individualism and conservative ideas. This movement led to the practice of venture philanthropy, which Boverinin (2008) defines as "grant making based on principles used by venture capitalists for investing in new business" (p. 101). These funders required that all supported programs show a return on investment by demonstrating how specific objectives were met with the grant funding. As a result, universities began to invest heavily in evaluation and tracking the success of their education programs, which added costs to their overall operating budget, but provided them with the tools to communicate results to their funders.

The current foundations that wield heavy influence on education (both higher education and K-12), are the Bill and Melinda Gates, Lumina, Ford, Carnegie and Kellogg foundations. These organizations impact completion rates by providing funding to students through the

Complete College America initiative, which in 2010, provided $12 million over four years to help seventeen states improve college attainment at public universities and colleges (Bernstein, 2014). Separately, the Gates Foundation created the Millenium Scholars program, a national competitive program which provides funding to Latino, African American, and Asian American students (Bernstein, 2014). Undergraduate students are able to choose their major, however, graduate student must select computer science, education, engineering, library science, math, public health, or the sciences. This effort increases the number of non-White students in the areas of STEM and improves the chance that Millenium Scholars will complete their education. Though private funding opportunities for students are more readily available through these efforts, foundations are requiring that in order to be eligible for student funding, colleges and universities must fulfill certain metrics and measurements, many of which influence the institutions to focus on moving students through the pipeline to graduation instead of creating a robust education experience.

Historically and currently, philanthropy greatly impacts various aspects of higher education. These aspects range from the founding of universities to their governance and operations, including how they balance their budgets. Few if any universities and colleges elude the influence of philanthropy as it historically has shaped how all institutions measure their success as well as how they recruit and retain faculty.

Studies about Philanthropy at Universities

Separate from the history of philanthropy in higher education, a conservative number of scholars have conducted studies about fundraising at universities and colleges. Harrison, Mitchell, and Peterson (1995) analyzed data from the Council for Advancement and Support of Education (CASE) of college development expenditures from various institutions to decipher the

return on investment (ROI) of fundraising programs. They examined development expenditures including alumni databases and research, plus the cultivation and stewardship costs for soliciting gifts and recognition of alumni, among other items. Harrison et al. (1995) found that institutions with the highest costs for their development operations brought in the greatest amount of contributions. In fact, investing in alumni recognition tended to have a strong positive influence on giving. They found that a one percent change in schools' expenditures on development raised alumni giving by approximately 0.7 percent.

Just a year later, Baade and Sundberg (1996), analyzed a sample of two hundred fifty liberal arts colleges and one hundred twenty-five public and private doctoral-granting research universities during the 1989 and 1990 fiscal years. Specifically, they reviewed data from the Department of Education's Integrated Postsecondary Education Data System (IPEDS) and the Council for Aid to Education. They found that certain characteristics of students and institutions, as well as the university's investment in fundraising efforts interacted with one another to generate the greatest amount and number of alumni contributions. For example, institutions with a longer history of operating and maintaining alumni giving programs, as well as those that are very selective private universities and colleges generated the highest level of giving from their alumni. Baade and Sundberg (1996) described this phenomenon as the Matthew effect, in which established, well-endowed entities draw additional prestige and funds. In addition, those universities that invest more funds in their institution's instruction also received many more alumni gifts. Incidentally, neither enrollment nor funds spent on research showed any positive correlation to alumni giving.

Cheslock and Gianneschi (2008) focused their research on public institutions. They used institution-level data on private donations from the Voluntary Support to Education survey

(VSE) developed by the Council for the Advancement of Education (CAE) from fiscal years 1994 through 2004, as well as information on state appropriations and student enrollments from IPEDS. They found that during fiscal years 1994 through 2004 public institutions in aggregate were receiving more private donations to partially cover the shortfall from the decrease in state appropriations; yet, at the institutional level they did not find that private gifts were offsetting poor state funding. However, among those institutions that did recognize an increase in alumni giving during times of reduced state support, institutions with already well-established and successful development programs receive more gifts. In fact, public universities in the 90th percentile of cumulative gifts receive 5.2 times as many donations as the median institution. Also, the most selective universities receive approximately 1.8 times as much gift revenue as moderately selective institutions and close to 3.5 times than that acquired by the two categories of less selective institutions. These findings confirm the Matthew effect mentioned by both Baade and Sundberg (1996) and Lesley and Ramey (1988). Conversely, those institutions that receive fewer dollars from their state legislatures and that had less selective admissions receive fewer contributions from alumni.

Cunningham and Cochi-Ficano (2002) found that institutional quality, as defined by endowment size and faculty-to-student ratio, also is an important stimulant to alumni giving. In fact, an increase in their study's standard deviation ($42.70) of endowment per student causes a $52 increase in giving per alumnus. The ratio of faculty to students also is key. For every two additional faculty members per one hundred students, alumni giving increases by $17 per alumnus or $442,000 annually from all alumni. Their findings also support Clotfelter's (2003) "liberal arts" effect which states that four-year institutions generate more funding from alumni.

In their study, liberal arts alumni donate between $38 and $49 more than alumni from other universities and colleges.

Regarding the impact of financial aid on alumni giving, Marr, Mullin, and Siegfried (2005), using data on 2,822 Vanderbilt University graduates during the eight years after graduation, found that the type of financial aid offered to students impacts their future giving more than the quantity of aid received. For example, need-based loans lessened the probability of giving among alumni between 8 and 16%. Yet, students who receive need-based scholarships had a 5 to 13% higher probability of giving back to their university, however, as the size of the award increases the likelihood of giving decreases.

Similar to previous studies (Baade & Sundberg, 1996; Clotfelter, 2003; Cunningham & Cochi-Ficano, 2002), Marr et al. (2005) found that alumni with wealthy parents tend to contribute much more than those from less-wealthy households. In fact, "families in the top three within-sample deciles all contributed more than those from families in the bottom seven deciles of the income distribution" (p. 139). Scholastic performance among students also was a strong factor in alumni giving, "one standard deviation increase in GPA (about 0.44 on a 4.0 scale) raise(s) the likelihood of giving by 3%" (p. 140). As with Harrison et al. (1995), Marr et al. (2005) reported that members of fraternities, sororities and athletic teams contribute more after graduation than those students who participate in academic groups. Respectively, the effects are 7%, 13%, and 8%, and each are statistically significant.

Meer and Rosen (2012) investigated giving from alumni who receive financial aid during their college years. They used micro data on alumni giving at an anonymous research university and focused their attention on the impact of three types of financial aid: scholarships, loans, and campus jobs. Their study shows that a students' receipt of scholarships does not positively

influence his/her philanthropic behavior after graduation. Also, students that utilize a loan are much less likely to give as alumni, though the holding of a campus job does not positively or negatively impact their giving. Interestingly, they did find that of those individuals who receive scholarships and who later choose to become donors as alumni, those that receive the most funding contribute the most to their alma mater.

These studies provide insights on the relationship between alumni giving and state appropriations to higher education institutions yet reveal disagreement regarding the connection between alumni giving and financial aid. Concerning state appropriations and alumni giving, both Cheslock and Gianneschi (2008) and Lesley and Ramey (1988) find that those institutions that receive less state funding also receive fewer private gifts. Yet, though Cunningham and Cochi-Ficano (2002) and Marr et al. (2005) observe that offering need-based scholarships to students raises the probability of giving by these students after graduation, Clotfelter (2003) and Meer and Rosen (2012) find the opposite is true, especially if students utilize loans to finance their education.

All of the researchers did agree that certain institutional and student characteristics positively influence alumni giving. Concerning institutions, those that are highly selective (Baade & Sundberg, 1996; Clotfelter, 2003), with large endowments (Cheslock & Gianneschi, 2008; Cunningham & Cochi-Ficano, 2002; Leslie & Ramey, 1988), and a long history of and investment in advancement/development operation (Baade & Sundberg, 1996) recognize the highest amount of individual contributions. Leslie and Ramey (1988) and Baade and Sundberg (1996) define this phenomenon as the Matthew effect, in which advantage begets advantage. Clotfelter (2003) and Cunningham and Cochi-Ficano (2002) also mention that alumni from liberal arts colleges tend to give more than those from other types of institutions; they call this

trend the "liberal arts effect." Many of the studies also agree that wealthy, well-prepared, and high-quality students give more back to their alma mater after graduation (Clotfelter, 2003; Cunningham & Cochi-Ficano, 2002; and Marr et al. 2005).

Significance

As public institutions become dependent on large gifts and charitable giving by alumni, students from public colleges and universities have become incredibly more diverse. The National Center for Education Statistics (2014) reports that from 1976 to 2012, Latino enrollment at public institutions grew from 3.8% to 15.9%, in comparison to African American enrollment, which grew from 9.6% to 13%, or in contrast to Anglo-American enrollment, which actually decreased from 82% to 58% during the same time frame. Since public higher education institutions rely on major gifts to offset the decrease in state funding as well as to compete with private institutions, these colleges and universities must consider how the demographic shifts among their growing alumni base may impact their fundraising operations, and specifically how they raise five-figure or larger gifts from this population. As Latino enrollment will increase at a higher percentage than African American and Anglo American enrollment, specific attention should be given to how this population is cultivated for major gifts to higher education institutions.

Purpose of the study

Bekkers and Wiepking (2007) state that most studies about philanthropy are short-term and not longitudinal. Also, many of the studies only look at a small number of people and may not be applicable to the general public. Plus, the studies rely heavily or solely on empirical experiments and do not test theories or hypotheses. Brittingham and Pezzullo (1989) argue that most of the empirical studies and research on philanthropy has been dominated by donor

behavior studies and that much of the research has been somewhat inconclusive. One of the reasons the researchers find the literature disappointing is due to the lack of consensus on donor motivations for giving. Schervish and Herman (1988) argue that analyzing donor motives or fundraising models or approaches is questionable. The utility and validity of these empirical studies is further questioned by Burt and Popple (1998). They state that the validity of these studies is questionable primarily due to an individual's inability to accurately recall charitable acts. They find that when asked about the amount they contribute and the frequency of their contributions, most donors significantly overestimate the amount of their donation as well as the number of times they make a contribution. If most of the studies in the current literature are based on first-person accounts through surveys and interviews, data cannot be trusted if it has been proven that donors do not accurately self-report about their charitable activities. Kelly (1991) agrees and asserts that more research must be done in the area of fundraising processes and approaches in contrast to the previous studies' exploration of solely the "characteristics, attitudes, and motivations of donors" (p. 197). Cortés (2002) and Drezner & Huehls (2015) add that a majority of the studies, whether they explore giving by Latino alumni or not, focus too heavily upon donors and their behavior, in contrast to exploring the development programs and fundraising approaches of higher education institutions.

Drezner and Huehls (2015) also point out—with the exception of Ellison and Sherkat (1995) and Gasman et al. (2011)— an overwhelming majority of the studies explore the giving habits of mostly white men or women. Few studies or theories discuss philanthropy outside of the white community. In addition, though some studies explore charitable giving among Latinos and people of color (Cortés, 2002; Center for the Study of Philanthropy, 1999; Hall (2010); Marx & Carter, 2008; Smith, Shue, Vest & Villarreal, 1999), as well as others regarding alumni of

color (Gasman & Bowman, 2013; O'Connor, 2007) a dearth of research has explored the specific strategies, if any, that public university development programs utilize to engage and build relationships with Latino alumni, which is the population that experienced the greatest growth in the past forty years. Lucka (2015) argues that in order to successfully cultivate and solicit Latino donors, universities need to redesign their advancement programs to focus on relationship-building with Latino alumni. Cortés (2002) adds that development professionals need to cultivate strong relationships with Latino alumni so that these alumni grow to trust their alma mater as well as the individuals who lead these institutions.

Therefore, the purpose of the proposed study is to explore how development personnel at a public higher education institution cultivate relationships with Latino alumni to successfully solicit major gifts. The relationship between the institution and Latino alumni is critical to successfully encouraging Latinos to contribute to their alma maters (Cortés, 2002). Considering how public higher education institutions rely on major gifts to offset the decrease in state funding as well as to compete with private institutions, these colleges and universities must consider how they engage Latino alumni in their fundraising programs so that they are more involved, trust the institution, and provide financial contributions. The nature of these relationships will impact the university's ability to raise five-figure or larger gifts from this population. As Latino enrollment will increase at a higher percentage than African American and Anglo American enrollment, specific attention should be given to how this population is cultivated for philanthropic giving by higher education institutions.

Research Questions

Since there is limited research on giving by Latino alumni, I propose a descriptive study that will explore two research questions:

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

Overview of Theoretical Framework

Since the proposed study explores relationships between a university's development staff and Latino alumni, I will use relational theory as the theoretical framework for the study. Lucka (2015) argues that in order to successfully cultivate and solicit Latino donors, universities need to redesign their advancement programs to focus on relationship-building with Latino alumni. Cortés (2002) adds that development professionals need to cultivate strong relationships with Latino alumni so that these alumni grow to trust their alma mater as well as the individuals who lead these institutions. Consequently, the best theoretical framework to guide this study is relational theory since it explores relations between people and/or groups.

Relational theory is based on relationship marketing, which involves the development of long-term exchange relationships between an organization and its customers (Drezner & Huehls, 2015). The theory was first developed by Morgan and Hunt (1994); it states that in order for customers to purchase products or services from an organization they must trust the organization and be committed to its mission. Garbarino and Johnson (1999) refined this theory by stating that in addition to commitment and trust, a customer must be satisfied with a product or service to maintain an exchange relationship with an organization or business. They argued that when a customer engaged in a low relational exchange with an organization, her next visit was greatly

influenced by her satisfaction with the service. Yet, in high relational exchanges, future interactions were driven more by trust and commitment than satisfaction. Thus, in the context of higher education, donors who have a close relationship with a university will make their funding decisions based on the level of trust they have in the university and their commitment to its mission, whereas those supporters who have a superficial relationship with the university will make future funding decisions based on the level of satisfaction they received either as a student or an alumnus.

Overview of Methodology

The study takes a qualitative approach since the questions investigate the "how," or process, used by university development teams to build relationships with Latino alumni. The study also explores and describes the techniques and strategies that development personnel use to cultivate Latino major gift donors. Qualitative research designs are used to "…address the *how*…(i.e., a process)…of a phenomenon," (Hays & Singh, 2012, p. 4) as well as for studies that are exploratory and descriptive (Merriam, 2001).

In addition, since constructionism "seeks to construct knowledge through social interactions," (Hays & Singh, 2012, p. 41), that investigates individual's perspectives and experiences (Koro-Ljungberg, 2009), and that involves an examination of the "interaction between human beings and their world…" through a "social context" (Crotty, 2015, p. 42), the proposed study uses constructionism as its primary analytical paradigm. I also choose constructionism in contrast to the critical viewpoint because the study is exploratory and descriptive.

For the proposed study, I am not interested in the power dynamics between donors and institutions, or in comparing the power dynamics between Latino and non-Latino alumni and

their alma maters, or the impact that philanthropy has on power relationships in institutions of higher education. The study explores and describes how philanthropic relationships are built and cultivated between universities and Latino alumni; it does not define or analyze constructs of power created by these relationships.

As the proposed study is exploratory, yet uses relational theory as a framework, the single case study provides the researcher with the opportunity to look at the "process and product of inquiry" as well as to test a theory with one case. Merriam (2001) adds that case studies are also particularistic or focus on a particular situation. For the purpose of this study, the particular situation is the process the team undertakes to cultivate relationships with Latino alumni. In addition, Becker (1968) says that case study design also allows the researcher "to arrive at a comprehensive understanding of the group under study" (p. 233) while Merriam (2001) adds that case study design advances a field's knowledge base and brings about understanding to improve practice. Thus, the case study method best serves the proposed study since the study seeks to fill in the current gap in the literature about how institutions cultivate relationships with Latino donors and strives to improve development practice with Latino alumni by providing a better understanding about how development personnel cultivate relationships with Latino donors.

In summary, I will conduct a qualitative research design implementing a single case study method of a public, Tier 1, research four-year institution of higher education. The case study will include semi-structured interviews, observations, and a review of printed and digital fundraising materials. The purpose is to assess how development/advancement personnel at the selected higher education institution build relationships with Latino major gift donors and how they use certain techniques to solicit gifts or pledges of $25,000 or more from these individuals.

Definition of Terms

The *Merriam-Webster's Collegiate Dictionary* (2017.) defines philanthropy as "an act or gift done or made for humanitarian purposes" ("Philanthropy," 2017). For the proposed study, Latino philanthropy will be defined as acts of mentorship or volunteerism as well as financial contributions made by Latinos or U.S. natives and/or residents whose self-identified origin or heritage is of Latin America. Latin America includes Spanish- and Portuguese-speaking countries, such as Mexico, the entire Caribbean island region, and South America. Alumni will be defined as individuals who graduated from the university or college.

Informed by my over twenty years of fundraising experience, I will use the terms fundraising, development and advancement interchangeably as these words each represent an office or function of a university that focuses on raising money from alumni and friends through relationship-building, as well as pursuing tactical methods to engage these individuals in the life of the higher education institution (Gallo, 2013). There are specific titles for administrative positions within development offices, and some institutions maintain large development operations in which each college or school will employ a development team or an institution will employ a core group of professionals that are responsible for various colleges, schools, and/or programs on a campus. A vice president of development/advancement is typically the leader of the overall fundraising strategy for a university and works closely with the president to define fundraising goals for the institution and cultivates high-level donor relationships in tandem with the president. This person also oversees all of the development staff on campus. Development officers represent individuals that cultivate donors for major gifts through one-to-one meetings.

Typically, major gifts are single- or multi-year pledges or gifts of $25,000 or more; however, at some business and law schools the level of major giving begins much higher,

perhaps at $50,000 or more, depending on the institution. In contrast, annual giving represents one-time, annual gifts that an alumnus or friend contributes to a university. Annual gifts are usually unrestricted, the institution can use these funds as needed, while major gifts are usually restricted, or specified for a particular purpose (Cauda, 2014).

Limitations

A case study design could pose challenges to successfully implementing the proposed study. First, it may be difficult to identify an institution that meets the criteria for selection, which includes maintaining nearly a 10% or more Latino student population for at least twenty years and a development program for at least thirty years. Second, once an institution is chosen, the development personnel may not be willing to candidly relay stories about their relationship-building with Latino alumni. Some of these experiences may not be positive and may reflect poorly on the institution or the individual gift officer. As a result, development professionals at the selected institution may choose to only convey positive experiences; a practice that could create a bias toward a positive representation of these interactions. In addition, this issue could be exacerbated since I am choosing not to interview the Latino alumni with whom the development officers connect. Since I will not confirm the development officer's perception of the relationship she maintains with the Latino alumnae, it is possible again that there will be a bias toward a positive representation.

Assumptions

The proposed study accepts many assumptions. First, an underlying tenet of the study's significance embraces an assumption that philanthropy positively affects universities and colleges. Actually, some contributions can negatively burden an institution to sway from its mission. The study also assumes that when alumni give to their alma mater that these institutions

need these funds to operate. Though evidence shows that most universities require funding outside of tuitions and government support to cover their costs, some institutions may not need philanthropic gifts to sustain their operations.

I am a fundraiser, Latina, and have worked in fundraising for more than 20 years, with nearly 12 years employed at a Tier 1, public, four-year research university. Therefore, I am an insider. So, I have some assumptions and preconceptions regarding development professionals, as well as a preconceived set of techniques used to connect with and solicit gifts from Latino and non-Latino white alumni. I also assume that most development operations operate as my institution and that they strive for inclusivity, and most of the time fail to succeed in this area. Thus, I assume that higher education institutions either don't reach out to Latino alumni or when they do their approach differs from one that they would use with white alumni.

Delimitations

I will select one public, Tier 1, research four-year institution of higher education that has maintained nearly a 10% or more Latino student population for at least twenty years. The selected institution will also need to have sustained a development program for at least thirty years. According to my eleven years of fundraising experience in higher education, institutions that meet these criteria tend to have a higher number of Latino alumni who provide major gifts to their alma mater for two reasons. First, if the institution has managed a development program for at least thirty years, there is more likelihood that the development operation has reached a certain level of professionalism that would generate major gift activity. Then, if the Latino student population of the university has persisted at 10% or more for at least twenty years, there is a higher likelihood that the Latino alumni of that institution have reached a certain echelon in their careers to be able to provide major gift funding to their university.

In order to establish validity in my study, I will follow four of Merriam's (2001) six basic strategies to build validity in a case study design: triangulation or using multiple sources of data to "confirm emerging findings" (p. 204); member checks, which involve asking participants to review the results and rate their plausibility; peer examination; and clarifying my research biases such as my assumptions and theoretical orientation at the outset of the study. Due to time constraints of my study, I will be unable to follow the other two strategies, which include long-term observations and collaborative modes of research.

Summary of Chapter One

Alumni giving is a primary revenue stream for higher education institutions (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). Conley and Tempel (2006) state that gifts from alumni have emerged as the primary vehicle to give institutions an advantage over other colleges. In addition, large gifts from alumni, such as those at a level of $25,000 or more, are critical to higher education institutions (Troop, 2014). The National Center for Education Statistics (2014) reports that from 1976 to 2012, Latino enrollment at public institutions grew faster than non-Latino whites, African Americans, and Asian Americans. Considering this growth, and that higher education institutions rely so heavily on philanthropy to remain competitive, colleges and universities must consider the impact that Latino philanthropy will have on their institutions. Therefore, the purpose of this exploratory, qualitative study is to examine how development personnel at public higher education institutions cultivate relationships with Latino alumni. Specifically, I will select a four-year public institution as a case study for my research, which will examine how current fundraising operations engage Latino alumni.

CHAPTER TWO: LITERATURE REVIEW

Since Latino enrollment at higher education institutions, especially public universities, has grown dramatically since the 1980s (National Center for Education Statistics, 2014), the demographic shifts among the future alumni bases of all universities is certain. In order to better understand the impact Latinos can have on the future funding of higher education institutions, it is imperative to learn more about the roots and distinguishing characteristics of Latino philanthropy. Despite repeated efforts to find literature about the history of philanthropy by Latinos in the United States, the most robust and comprehensive history was compiled by the Center on Philanthropy and Civil Society in a 2003 report entitled, *Latino Philanthropy Literature Review.* As such, I cite the report repeatedly in the subsequent section.

In addition to a brief history and a review of some of the studies that focus on Latino philanthropy, I include a review of studies that focus on alumni giving in general. After reviewing these strands of the literature on Latino philanthropy and alumni giving as well as ordinary alumni giving, I will assert how the proposed study fills a gap in the literature about Latino philanthropy as well as philanthropy in higher education.

Latino Philanthropy

History of Latino Philanthropy in the United States

The Center on Philanthropy and Civil Society with funding from The Ford Foundation and the Coalition for New Philanthropy in New York compiled a "Latino Philanthropy Literature Review," which provides a robust historical overview of philanthropy in Latino communities from the Colonial Period through contemporary times. The report traces the roots of Latino philanthropy from the lay brotherhoods or *cofradías religiosas* to more recent highlights of Latino philanthropy as shown in giving societies and foundations.

Cofradías religiosas were a mainstay of the 17th, 18th, and most of 19th centuries in Latin American communities governed by New Spain (Center on Philanthropy and Civil Society, 2003). In nineteenth century northern Mexico, these *cofradías* supplanted the role of the government since areas far from the center of Mexico, such as Texas, received scant attention from the federal government. U.S. settlers who had moved to Texas while it was part of New Spain took advantage of this lapse and in 1835 coordinated efforts with Spanish landowners in Texas to become independent from Mexico. By the end of the Mexican American War in 1848 and the signing of the Treaty of Hidalgo, the United States had annexed large landmasses that were once Mexican territory.

According to Miller (1999), from one day to the next, wealthy Spanish landowners and their families found themselves as second-class citizens in a new country with a completely different legal and governance system. Many landowners lost their property, in which they held a majority of their wealth, to U.S. settlers as a result of treacherous land title procedures enacted by the newly established municipalities as well as by being thrown off their land by force. In response, Mexican-Americans strengthened the network of *cofradías* and created other organizations, such as *mutualistas*, to provide health care and other direct services, as well as to protect members' civil rights. Miller states that the need for these types of organizations continued well into the 20th century, as Mexican-Americans continued to experience political and economic disenfranchisement.

In addition to the annexation of lands from the Southwest, in the late 1800s, Puerto Rican and Cuban immigrants began to settle in New York City and Florida respectively (Center on Philanthropy and Civil Society, 2003). *Mutualistas* in urban centers provided both Puerto Rican and Cuban communities with direct services such as medical care and housing, in addition to

political organizing and lobbying for civil rights in their new adopted country. At the end of the 19th century, the United States entered into war with Spain; the United States triumphed and gained Puerto Rico, Guam and the Philippines, as well as temporary control of Cuba. Labor and mutual aid associations continued to provide services to these Latin American communities in their homelands and when settling inside the continental United States (Center on Philanthropy and Civil Society, 2003).

During the industrial revolution, most Latinos did not participate in the economic development at the same scale as whites (Miller, 1999). On the contrary, many Latinos, both in New England and the Southwest, found themselves fighting for basic civil rights, legal recourse to purchase and own property, and access to loans to start businesses (Center on Philanthropy and Civil Society, 2003; Center for the Study of Philanthropy, 1999). Organizations like El Primero Congreso Mexicanista, the League of United Latin American Citizens and others were formed in the early 20th century to serve these basic needs and to fight for the civil rights of Latinos in states such Texas where the Latino population was comprised mostly of Mexican Americans.

Philanthropy from other Latino immigrants who had previously settled in the region focused on providing new immigrants with socio-economic aid, advocacy and defense, political power, cultural promotion and production, worker protection, educational equity and community development (Center for the Study of Philanthropy, 1999). In the Southwest, though a large class of Mexican elites moved to Texas during and after the second revolutionary war in Mexico at the turn of the 20th century, mostly all immigrants encountered racial discrimination upon arrival and limited access to housing. Those who could afford to purchase property were prohibited from doing so as many laws did not permit immigrants to own property.

The exception to these Latino communities were immigrants who emigrated from Cuba. Many of the adults who arrived at the turn of the century and then later in the middle of the century to flee the coup of Fidel Castro, moved to Florida with much of their wealth from the island in their possession. They also were allowed to purchase property and obtain loans to open businesses in areas such as Miami (Center for the Study of Philanthropy, 1999).

Toward the middle of the 20th century on the east coast and in the Southwest, Latinos continued to create organizations to provide basic civil rights, political power, and other social services to their communities. By the 1960s and 70s, these organizations included MAYO, La Raza Unida political party, UFW, MALDEF, the National Council of La Raza, the Hispanic Leadership Forum, the Hispanic Young Adult Association, the Young Lords, and others. The Latino population, in contrast with African Americans, was heavily comprised of immigrants, many who lacked economic or social power. Latinos also lacked a strong network of religious institutions and a unified national identity as most identified with their countries of origin. So, nonprofits like the Puerto Rican Association for Community Affairs, the National Puerto Rican Forum, Puerto Rican Legal Defense and Litigation Fund, El Centro Educacional del Caribe, Community Association of Progressive Dominicans, Northern Manhattan Coalition for Immigrant Rights, Alianza Dominicana, and Latinos United for Political Action, among others were created during this time to provide social services. Many of these organizations received a majority of their funding from the U.S. government into the 1960s and 70s. Also, groups like the Latino Funds Collaboration, the New American Alliance, and Hispanics in Philanthropy initiated in the later part of the 20th century were formed as national or regional funding consortiums of Latinos in contrast to the family-foundation practice of white, non-Latino communities (Center for Philanthropy and Civil Society, 2003).

According to the literature, *cofradias religiosas* and *mutualistas* provided non-governmental support to Latino communities and are the first iterations of Latino philanthropy in the United States (Center for Philanthropy and Civil Society, 2003). These entities supported Latinos with social services, education, and by protecting their civil rights. Current foundations and giving societies to which Latinos give continue to provide these services to the Latino community.

The preceding section discussed a brief history of Latino philanthropy. The following section will explore various studies that analyze and investigate Latino philanthropy. I also include a review of articles that specifically examine giving to higher education institutions by Latino alumni.

Studies that Explore Latino Philanthropy

The Center for Philanthropy and Civil Society (2003) states that Latino philanthropy is realized in four different categories. First, Latinos provide funding to religious organizations, such as the Catholic, Protestant and Evangelical churches. Second, Latinos continue to support mutual aid societies. The review also states that Latinos provide funding for organizations and clubs, such as advocacy organizations. Latinos also send remittances to their families and communities in their countries of origin. Remittances are an extension of traditional *personalismo*, which is a commonplace practice among Latinos and includes financially supporting family members and close friends who are in need (Cortés, 2002). According to "Remittances to Latin America and the Caribbean Set a New High in 2014" by the Multilateral Investment Fund, Mexico received $23.6 billion, Guatemala $5.5 billion, the Dominican Republic $4.5 billion, El Salvador $4.2 billion and Columbia $4 billion. Since these funds are not invested in charities in the U.S. nor do they pass through any institution in the nonprofit

sector but are transmitted directly to family members via wire transfer, these charitable gifts are not categorized as philanthropy by more mainstream terms nor regulated by the Internal Revenue Service. As such, donors do not receive tax-deductions nor are they listed in nonprofit giving societies; though, as the Multilateral Investment Fund asserts, these remittances provide support similar to that of a nonprofit, such as scholarships for school, funds for medical attention, and other social services.

The fact that many forms of giving by Latinos fall under the radar of typically defined U.S. philanthropy is echoed in Cortés (2002). He refers to studies by De la Garza and Lu (1999), O'Neill and Roberts (2000), Rivas-Vasquez (1999), and Royce and Rodriguez (1999) that state that the Latino community's use of *personalismo*, and lack of trust in institutions encourages Latino charitable giving and philanthropy to be contained within the family and familial links with close friends and community members. This form of giving operates outside the U.S. philanthropic infrastructure. As a result, Latino giving is invisible to entities that measure philanthropy in the United States. So, Cortés (2002) states, many Latinos are categorized as non-donors.

However, Cortés (2002) argues the contrary in his research. He states that a survey conducted by the University of San Francisco Institute of Nonprofit Organizational Management shows that when taking income into consideration, there is no statistically significant difference in giving among Latinos in comparison to other U.S. populations. Latinos give as much as non-Latino Whites. Royce and Rodriguez (1999) concur with Cortés. Their study examines if the differences in generation, national origin, length of time in the U.S., social class standing, and religious affiliation impact giving rates among Latinos. They find that obligation and service to family and community are key values of Latinos; both of which

represent positive influences to giving. They also argue that Latinos prefer to have a personal connection to the cause or the people who manage the institution where their giving is directed. Relationships are fundamentally important to Latinos. Thus, who is involved in the operations of the organization is almost as important as the organization's mission. The study also finds that Latinos prefer not to be recognized for their contributions; humility is a key value of Latino culture.

Royce and Rodriguez (1999) also find negative influences to giving from Latinos. Many Latinos lack *confianza,* or trust, in formal organizations. Latinos also perceive organized philanthropy as an exclusive club and a practice of a more Anglo-centric, Protestant culture, which is distinct from the predominately Catholicism of most Latinos. Royce and Rodriguez (1999) argue that this perception of organized philanthropy as existing outside the Latino community must change if more Latinos are going to participate in philanthropy outside of the family or family network. The researchers believe that Latinos' ethic of relationship with its associated notions of responsibility and community is a powerful basis for a strong Latino philanthropy and a model for traditional philanthropy.

The Perez and Murray (2016) study of nonprofit boards of several national Latino advocacy organizations counters Royce and Rodriguez (1999) who argue that some Latinos are averse to organized philanthropy. Perez and Murray surveyed national Latino organizations and found that Latino board members, most of whom are corporate elites, are both embedded in ethnic-based networks and entrenched within elite organizational webs. These individuals participate in mainstream organizational boards such as symphonies and operas, as well as those nonprofits that provide advocacy, civil rights, and social services solely to Latino communities in need. Their findings suggest that Latino elites who serve on the boards of Latino advocacy

organizations are also corporate elites who are selected for the social capital they bring to mainstream nonprofits. Perez and Murray state that this pattern also can be found among white elites who serve on boards. Therefore, Latino elites inhabit the same practices as white elites when serving on prominent nonprofit boards.

Vallejo (2015) examines the giving patterns of middle- and upper-class Latino entrepreneurs to measure their sense of ethnic solidarity as expressed through community giving to other Latinos. She finds that middle-class Latino entrepreneurs engage in more unstructured philanthropic activities, such as volunteering their time at Latino-centric organizations or mentoring low-income Latinos. Meanwhile, elite Latino entrepreneurs focus their giving on education and Latino business development. She argues that her research demonstrates that Latino elites do practice philanthropy, preferring to support efforts that move Latino communities towards social and economic empowerment through the creation of ethnic social structures that promote educational attainment and Latino business development.

Smith, Shue, Vest and Villarreal (1999) provide an overview of how philanthropy is practiced by African Americans, Mexicans, Salvadorans, Guatemalans, Filipinos, Chinese, Japanese and Koreans. They describe specific cultural and philanthropic practices of these eight communities and share insights about the subtle yet important differences in attitude regarding philanthropy among racial/ethnic groups as well as among subgroups of a racial or ethnic group. Marx and Carter (2008) focus their study on Hispanic donors. They try to determine what influences them to give to charitable organizations in the U.S. They argue that Hispanics prefer to donate to nonprofits conducting work in education, human services, the arts, youth development, the environment, and health (in order of preference).

Though the literature on Latino philanthropic practices is not robust, the studies in this section indicate that Latinos are philanthropic. Latino philanthropy differs from mainstream philanthropy in four ways. First, in contrast to the origin of mainstream philanthropy, which initiated with large, family foundations that were founded by elites such as Andrew Carnegie and Henry Ford, Latino philanthropy began with collective, grass-root approaches. The *mutualistas* and *cofradías religiosas* were comprised of numerous people, some of which resided in the same community and shared the same background as the individuals who received assistance (Center for Philanthropy and Civil Society, 2003). As a result, Latino philanthropists maintained a close relationship to the recipients of their charity, in contrast to practitioners of mainstream philanthropy whose daily life rarely brought them in contact with the beneficiaries of their giving. Second, while Latino philanthropy has historically supported social justice issues, such as the civil and social rights of Latinos in the U.S., (Center on Philanthropy and Civil Society, 2003), mainstream philanthropy has focused its support on areas that comprise parts of the broader national infrastructure, such as primary, secondary, and higher education (Bernstein, 2014). Third, Latino philanthropy has championed efforts that directly impact and serve Latinos (Center on Philanthropy and Civil Society, 2003; Cortés, 2002; De la Garza & Lu, 1999; Gasman & Bowman, 2013; O'Neill & Roberts, 2000; Rivas-Vasquez, 1999; Royce & Rodriguez, 1999) while mainstream philanthropy has not invested as much funding in the Latino community in contrast to other ethnic populations in the country (Cortés, 2002).

Also, some of the ways that Latinos practice their philanthropy are not defined as such by mainstream philanthropy. For example, Latinos lack *confianza* in established nonprofit institutions (Royce & Rodriguez, 1999), so they tend to focus their giving on family and their community (Vallejo, 2015). This practice, called *personalismo*, also includes the sending of

remittances to family members who still live in Latin America (Center for Philanthropy and Civil Society, 2003; Cortés, 2002; De la Garza & Lu, 1999; Gasman & Bowman, 2013; O'Neill & Roberts, 2000; Rivas-Vasquez, 1999; Royce & Rodriguez, 1999; Smith et al., 1999). Since these types of gifts are not given to a certified, non-profit organization but are distributed directly to family members, these contributions are not tracked by the IRS or entities that study philanthropy. As a result, charitable giving by Latino philanthropists is under-reported and under-researched (Center for Philanthropy and Civil Society, 2003; Cortés, 2002; Gasman & Bowman, 2013; Smith et al., 1999).

Overall, the myth that Latinos are recipients not practitioners of philanthropy is false. As the literature review indicates, historically and currently, many Latinos are philanthropic (Center on Philanthropy and Civil Society, 2003; Cortés, 2002; De la Garza & Lu, 1999; Gasman & Bowman, 2013; Gonzalez, 2003; McDearmon, 2013; O'Connor, 2007; O'Neill & Roberts, 2000; Perez & Murray, 2016; Rivas-Vasquez, 1999; Royce & Rodriguez, 1999; Smith et al., 1999; Vallejo, 2015). They initiate *mutualistas*, serve on nonprofit boards, and participate in organized philanthropy at higher education institutions (Perez & Murray, 2016; Vallejo, 2015). They also give at the same rate as non-Latino Whites (Cortés, 2002; De la Garza & Lu, 1999; O'Connor, 2007). Royce and Rodriguez (1999) argue that Latinos' ethic of relationship with its associated notions of responsibility and community provides a powerful basis and model for philanthropy.

Studies that Explore Giving to Universities by Latino Alumni

In contrast to the broad study of philanthropy among Latinos, Gasman and Bowman (2013) focus specifically on college alumni of color. Gasman and Bowman's book is a manual for development programs accompanied and informed by robust research. In terms of Latino alumni, Gasman and Bowman provide a brief history of Latino philanthropy and Latinos. Their

research states that some Latinos are still becoming familiar with the idea of giving back to mainstream organizations as opposed to solely helping family and extended family, but that many are not being asked or engaged by nonprofits or educational institutions primarily because Latinos are perceived as receivers of gifts as opposed to philanthropists.

Regarding the internal operations of institutions, Gasman and Bowman (2013) state that though organizations and institutions of higher education are making efforts to diversify their fundraising staff, they continue to lag behind other industries. They add that fundraising officers fail to fully engage alumni of color, many times not asking them in, "ways that are relevant to their lives and interests," (p. 75). Gasman and Bowman proceed to enumerate some of the engagement methods that alumni of color prefer. First, "…alumni of color want to be solicited and engaged by other alumni of their own race or ethnicity…[or] another person of color," (p. 103). So, maintaining a racially and ethnically diverse staff of development officers is key for a successful fundraising program that will engage alumni of color. In addition, these alumni said that they prefer to receive updates about the institution through social media and email.

McDearmon (2013) researched how giving by Latino alumni is influenced by their perception of the relationship with their university. Specifically, McDearmon uses Stryker's (1980/2002) theoretical framework of symbolic interactionism to show how Latino graduates embody the role of an alum and how that identification moves them to act out that role and thereby provide financial support to their alma mater. McDearmon's research shows that as Latino alumni identify more with the role of an alumnus, which McDearmon defines as someone who provides financial gifts to the university, the more consistent and abundant are their charitable gifts. Also, if Latino alumni consider themselves part of a peer group of other like-minded alumni, they also give more frequently and consistently.

In fact, O'Connor (2007) finds that Latino alumni at two private institutions are giving at the same rate as white alumni at the same institutions. The Latinos' charitable giving tends to support scholarships and programs in contrast to athletics or unrestricted gifts like white donors. Latino alumni also ranked loyalty to their alma mater and the desire to help the next generation as their primary reasons for giving. O'Connor also finds that Latinos give because of emotional reasons, which include a sense of loyalty to their alma mater, a desire to help the next generation of students, and a feeling that their gift will make an impact. Latinos tend to respond to less aggressive fundraising efforts, such as mail solicitation in contrast to personal solicitations, however, they do respond favorably to telephone solicitations.

Gonzalez (2003) explores the factors that promote or limit Latino alumni giving by examining the giving patterns of Latino graduates at a Southwestern university. She finds that philanthropy is an important aspect in the personal lives of Latino graduates and their families. In addition to supporting their alma mater, the Latino alumni in her study support a wide range of charitable institutions including political actions groups and other educational institutions. Though Gonzalez's study finds that Latino alumni want to identify with the colleges and schools that they support, they don't necessarily need to see a high-level of Latino representation at the institution in order to associate themselves with it.

The preceding sections about Latino philanthropy and specifically giving by Latino alumni, show that many Latinos are philanthropic. Yet, Gasman and Bowman (2013) assert that fundraising officers fail to engage Latino alumni in a way that is relevant and that encourages them to give to their alma mater. This failure to connect directly with Latino alumni impacts their propensity to give. They are unable to be philanthropic at their universities and colleges if they are not being asked for their contributions in a way that is meaningful. As Gasman and

Bowman state, this disconnect between the institution and Latino alumni could influence the misconception that Latinos are not philanthropic to their alma mater though there is evidence to the contrary.

The following section provides some insights about alumni giving in general, including how current research defines as the primary characteristics of alumni donors and their connection to their university. The research also explores how universities use these studies to predict donor behavior. Additional studies discuss how these giving patterns inform certain theories about alumni giving.

Alumni Characteristics and Predictors of Alumni Behavior.

Taylor and Martin (1995) explore the behavior of alumni donors, specifically those who give to Tier One, research, public universities. Based on survey results from a sample of a larger population, the quantitative study found that in contrast to non-donors, donors tend to: have a higher family income than non-donors; perceive that the university was in need of financial support; read alumni publications; enroll in graduate school; and participate in special-interest groups. Regarding specific alumni characteristics and behaviors, Scott and Fischer (1996) identify undergraduate and post-college characteristics that may predict alumni giving. Their study finds alumni who possess a high level of sociability tend to give. These individuals practice strong relationships with other students and/or participated in alumni association events. Plus, an alum is more likely to contribute when his/her spouse also is an alum, and if the couple earn a high income. Alumni also tend to donate if they perform volunteer work and are involved in professional associations.

Scott and Fischer (1996) also find that some characteristics do not predict alumni giving. For example, though a higher individual income indicates that a male alumnus will donate to his

alma mater, income is not a predictor for female alumnae. Also, overall if an alumnus/ae attends a more prestigious graduate or professional school in comparison to his/her undergraduate institution, then the alumnus/ae is less likely to give to the less prestigious institution.

Predicting the likelihood of alumni giving is the purpose of many studies about philanthropy. Weerts and Ronca (2009) use a case study analysis of a single, large research university with its own unique culture and institutional traditions. They use a classification and regression tree (CART) methodology to find that regardless of income, alumni gifts may be crowded out by other institutions that compete for donor loyalties and gift dollars. However, the study indicates that alumni give based on the value or perceived outcome of their educational experience as well as the belief that their gift will help the university achieve a certain outcome. They also found that alumni give during winning athletic seasons, and when they feel connected to the university through institutional websites and alumni news service. The study shows a positive relationship between giving to religious organizations and alumni giving; alumni who give to a religious institution also give to their alma mater. Finally, the study finds that alumni giving is linked to the former students' involvement in college, with larger gifts coming from alumni who have strong feelings about the quality of academics and who participated in academic organizations while a student.

In their studies, Gaier (2005) and Miller and Casebeer (1990) also find that alumni who were involved in student activities give back to their alma mater. In fact, Gaier (2005) says that these alumni are 87% more likely to give than those who do not participate in any university activities while a student.

Conversely, Wastyn (2009) conducted a study of alumni in their fifties from a Midwestern university to explore their decision-making process since they had continuously not

provided funding to their alma mater. He finds that non-donors share some characteristics with donors. Specifically, they enjoy positive feelings toward their alma mater, have fond memories of their college experience, and engage in the university as alumni. However, they construct these experiences into different personal narratives than donors. Wastyn finds four major themes that led these alumni to not give to their university. First, these alumni consider their college a commodity not a charity worthy of support. These alumni also do not believe that their college needs their money. They view higher education as a privilege not a basic need and have misperceptions about giving as they believe that small gifts do not matter to their alma mater. Wastyn concludes that the most promising suggestions for converting a non-donor into a donor involve educating the alumnus about philanthropy in general and then specifically to the institution. Also, universities should consider using appeals that resonate with the personal narratives that non-donors have created to describe their college experiences. These appeals should convince the alumni that the institution is in need of support and demonstrate the value of any gift, no matter the amount. Institutions also should consider making emotional appeals, and to ask specifically for student support.

Models and Theories about Alumni Giving

In addition to these studies and predictor models, many scholars develop giving models and theories regarding philanthropy at higher education institutions. Building on identification theory, Schervish and Havens (1997) developed and tested a multivariate causal model of giving, which explored the social, demographic, economic, and motivational determinants of individual charitable giving. They find that when an alumnus empathetically identifies with the needs of others, specifically students, this emotion generates philanthropic commitment. They also find that an alumnae is more apt to give if she receives direct requests from the university, has

discretionary resources, and observed her parents being philanthropic when she was a child. If an alumnae is solicited by someone she knows (friend, business associate or member of clergy), she gives more but not as much if "the ask" is from someone that she does not know or if the request is impersonal (phone call, door-to-door, or workplace requirement). People with high optimism about their own financial future give more as do those who participate in community or religious activities. Schervish and Havens also find that those living in larger households do not possess sufficient resources to support efforts outside of the household.

In contrast to leveraging previous theories, Chung-Hoon (2007) developed the DOIM model to formulate institutional fundraising strategies and policies to improve fundraising outcomes for higher education institutions. Using the donor/organization integration model (DOIM), the study examines interactions with top ten donors at 132 public higher education institutions in the United States. She finds that institutions with the highest level of alumni giving scored high on the DOIM by possessing various interweaving characteristics. First, these universities have high relational embeddedness and formal interactions between alumni and the institution's leadership, as well as the highest average number of inner circle relationships between alumni and institutional administrators and trustees. Second, the institutions have the highest number of enduring donor relations as well as the highest fundraising in terms of endowment levels, number of alumni donors, and amounts of unrestricted gift. Finally, these institutions also employ the highest number of fundraisers.

Gallo (2012) further explored the internal operations of higher education institutions; her case study examined the extent to which institutional advancement (IA) practice, including fundraising, is embedded within Hispanic-serving institutions, as well as IA's impact on fundraising. The paradigm for analysis which she created is called the relationship-building

paradigm, which explores how an institution: builds affinity through IA communication (such as newsletters, websites, etc.); fosters engagement through IA alumni relations; and secures support through IA solicitation/fundraising. The relationship-building paradigm shows that relationship-building is key to an institution's advancement success.

The Need for a Study about Universities' Cultivation and Solicitation of Latino Alumni

The previous sections of this proposal include information about Latino philanthropy in a more general sense as well as how it is specifically related to higher education. In addition, the section reviews studies of donors to colleges and universities and summarizes some theories about alumni giving. Though the literature review contextualizes the impact of philanthropy upon the development and growth of higher education institutions, and the studies provide insights into the evolution of Latino philanthropy and Latino alumni giving, the literature exhibits various limitations.

Bekkers and Wiepking (2007) state that most studies about philanthropy are short-term and not longitudinal. Also, many of the studies only look at a small number of people and may not be applicable to the general public. Plus, the studies rely heavily or solely on empirical experiments and do not test theories or hypotheses. Brown (1997) says that since many studies rely on self-reporting by donors and non-donors, the validity of these experiments may be in question. He adds that philanthropic acts are commonly the result of multiple mechanisms working at once, so it is difficult for specific models of giving to be upheld and proven by research studies. Drezner and Huehls (2015) point out—with the exception of Ellison and Sherkat (1995) and Gasman et al. (2011)— an overwhelming majority of the studies explore the giving habits of mostly white men or women. Few studies or theories discuss philanthropy outside of the white community.

Brittingham and Pezzullo (1989) argue that most of the empirical studies and research on philanthropy has been dominated by donor behavior studies and that much of the research has been somewhat inconclusive. One of the reasons the researchers find the literature disappointing is due to the lack of consensus on donor motivations for giving. Schervish and Herman (1988) argue that analyzing donor motives or fundraising models or approaches is questionable. The utility and validity of these empirical studies is further questioned by Burt and Popple (1998). They state that the validity of these studies is questionable primarily due to an individual's inability to accurately recall charitable acts. They find that when asked about the amount they contribute and the frequency of their contributions, most donors significantly overestimate the amount of their donation as well as the number of times they make a contribution. If most of the studies in the current literature are based on first-person accounts through surveys and interviews, how can that data be trusted if it has been proven that donors do not accurately self-report about their charitable activities? Kelly (1991) agrees and asserts that more research must be done in the area of fundraising processes and approaches in contrast to the previous studies' exploration of solely the "characteristics, attitudes, and motivations of donors" (p. 197). Cortés (2002) and Drezner & Huehls (2015) add that a majority of the studies, whether they explore giving by Latino alumni or not, focus too heavily upon donors and their behavior, in contrast to exploring the development programs and fundraising approaches of higher education institutions.

In addition, though some studies explore charitable giving among Latinos and people of color (Cortés, 2002; Center for the Study of Philanthropy, 1999; Hall (2010); Marx & Carter, 2008; Smith, Shue, Vest & Villarreal, 1999), as well as others regarding alumni of color (Gasman & Bowman, 2013; O'Connor, 2007) a dearth of research has explored the specific strategies, if any, that public university development programs utilize to engage and build

relationships with Latino alumni, which is the population that experienced the greatest growth in the past forty years. Thus, the proposed study will explore how universities are cultivating relationships with Latino alumni, with a specific focus on Latino alumni who provide major gift funding to these institutions at a $25,000 or more level.

Theoretical Framework

Since the proposed study explores relationships between a university's development staff and Latino alumni, I will use relational theory as the theoretical framework for the study. Lucka (2015) argues that in order to successfully cultivate and solicit Latino donors, universities need to redesign their advancement programs to focus on relationship-building with Latino alumni. Cortés (2002) adds that development professionals need to cultivate strong relationships with Latino alumni so that these alumni grow to trust their alma mater as well as the individuals who lead these institutions. Consequently, the best theoretical framework to guide this study is relational theory since it explores relations between people and/or groups. In fact, scholars who study philanthropy and fundraising (Burnett, 1992; Sargeant, 2001; Drezner, 2011), have used relational theory to explore how long-term, sustained and individualized relationships with current or prospective donors generate major gift activity.

Drezner and Huehls (2015) describe theories that are based on relationship marketing, which involves the development of long-term exchange relationships between an organization and its customers. Morgan and Hunt (1994) developed a relationship marketing theory, which states that in order for customers to purchase products or services from an organization they must trust the organization and be committed to its mission. Garbarino and Johnson (1999) refined this theory further by stating that in addition to commitment and trust, a customer must be satisfied with a product or service to maintain an exchange relationship with an organization or business.

They argued that when a customer engaged in a low relational exchange with an organization, his next visit was greatly influenced by his satisfaction with the service. Yet, in high relational exchanges, future interactions were driven more by trust and commitment than satisfaction. Thus, in the context of higher education, donors who have a close relationship with a university will make their funding decisions based on the level of trust they have in the university and their commitment to its mission, whereas those supporters who have a superficial relationship with the university will make future funding decisions based on the level of satisfaction they received either as a student or an alumnus.

Waters (2008) confirms the validity of relationships to marketing theory. He conducted a web-based survey of individual donors to a single nonprofit healthcare provider to measure the relationships nonprofit organizations develop with their major gift donors in contrast to the relationship they foster with non-major-gift donors. He found that major gift donors are more likely to have stronger feelings of trust, satisfaction, commitment, and control mutuality with the organization than non-major-gift donors. He also states that if a major gift donor made multiple contributions to the organization, then they perceive to maintain a stronger relationship with the organization than one-time donors.

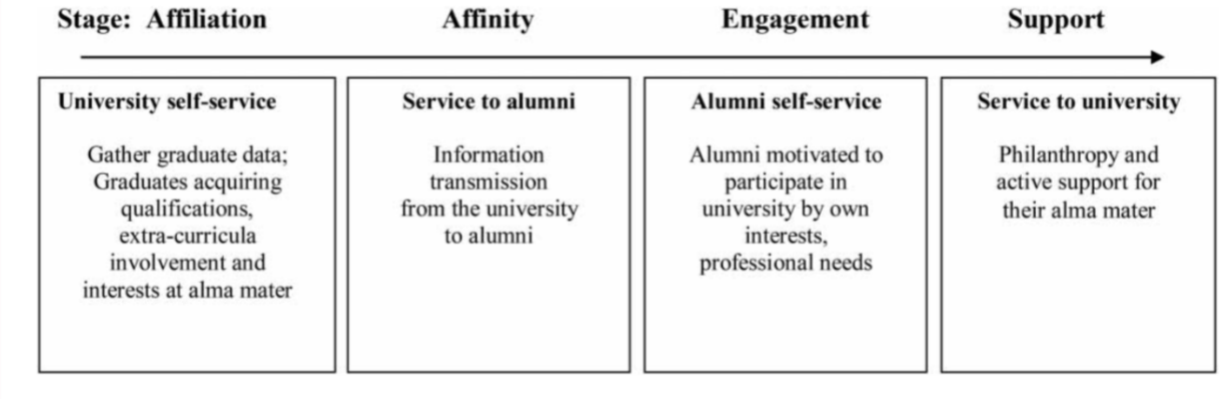
Drezner and Huehls (2015) also mention theories that focus less on the donor and more on the organization. Specifically, they discuss a relationship development theory arrived at by Venable, Rose, Bush, and Gilbert (2005). The theory assigns four distinctly human attributes to nonprofits that are successful in raising funds. These characteristics include: integrity, nurturance, sophistication, ruggedness, and forbearance from opportunism. They define integrity as an organization's commitment to the public good, and nurturance as embodying a sense of caring, empathy, love, and compassion. An organization's level of sophistication, which they

describe as glamorous, combined with ruggedness, or strength and durability, influences if a donor will refrain from contributing to other organizations, or what they call forbearance from opportunism. According to this theory, organizations must adopt human traits to acquire the trust and commitment, and ultimately, financial support from donors.

The proposed study will use Gallo's (2013) Institutional Advancement (IA) relationship building cycle as the tool to measure how relational theory is realized within the relationships built between development officers and Latino alumni (see Figure 1). Gallo's (2013) IA cycle is based upon an alumni relationship-building paradigm that includes

- Defining affiliation, in which the university researches information about the alumnus and begins to build a database of information about the alumnus;
- Building affinity, in which the institution communicates with the alumnus through digital and printed newsletters, announcements, press releases, and other modes of communication;
- Fostering engagement, in which the university engages the alumnus in attending networking and social activities, as well as other events, hosted by the institution; and
- Securing support, in which the institution successfully solicits the alumnus for contributions and volunteer service.

Figure 1. Gallo (2012, 2013) Institutional Advancement (IA) relationship building cycle



Summary of Chapter Two

The myth that Latinos are recipients not practitioners of philanthropy is false. As the literature review indicates, historically and currently, many Latinos are philanthropic (Center on Philanthropy and Civil Society, 2003; Cortés, 2002; De la Garza & Lu, 1999; Gasman & Bowman, 2013; Gonzalez, 2003; McDearmon, 2013; O'Connor, 2007; O'Neill & Roberts, 2000; Perez & Murray, 2016; Rivas-Vasquez, 1999; Royce & Rodriguez, 1999; Smith et al., 1999; Vallejo, 2015). They initiate *mutualistas*, serve on nonprofit boards, and participate in organized philanthropy at higher education institutions (Perez & Murray, 2016; Vallejo, 2015). They also give at the same rate as non-Latino Whites (Cortés, 2002; De la Garza & Lu, 1999; O'Connor, 2007). Royce and Rodriguez (1999) argue that Latinos' ethic of relationship with its associated notions of responsibility and community provides a powerful basis and model for philanthropy.

Though the literature review contextualizes the impact of philanthropy upon the development and growth of higher education institutions, Drezner and Huehls (2015) point out—with the exception of Ellison and Sherkat (1995) and Gasman et al. (2011)—an overwhelming majority of the studies explore the giving habits of mostly white men or women. Few studies or theories discuss philanthropy outside of the white community.

Though some studies explore charitable giving among Latinos and people of color (Cortés, 2002; Center for the Study of Philanthropy, 1999; Hall (2010); Marx & Carter, 2008; Smith, Shue, Vest & Villarreal, 1999), as well as others regarding alumni of color (Gasman & Bowman, 2013; O'Connor, 2007) a dearth of research has explored the specific strategies, if any, that public university development programs utilize to engage and build relationships with Latino alumni, which is the population that experienced the greatest growth in the past forty years. Thus, the proposed study will explore how universities are cultivating relationships with Latino alumni, with a specific focus on Latino alumni who provide major gift funding to these institutions at a $25,000 or more level. Since the proposed study explores relationships between a university's development staff and Latino alumni, I will use relational theory as the theoretical framework for the study. Lucka (2015) argues that in order to successfully cultivate and solicit Latino donors, universities need to redesign their advancement programs to focus on relationship-building with Latino alumni.

CHAPTER THREE: METHODOLOGY AND PROCEDURES

In this chapter, I detail the methodology and procedures of the proposed study. I present the following: the specific research questions that I explore in my study; the method and design that I utilize to investigate my questions; from where I cull my data and how I selected the data samples; how I analyze the data; and how I insure the validity and reliability of my data. The chapter closes with information about my positionality regarding the proposed study.

Research Method

This study explores relationships between a university's development staff and Latino alumni, thus, I use constructionism as the primary analytical paradigm. Hays and Singh (2012) define constructionism as a paradigm that "seeks to construct knowledge through social interactions," (p. 41), that investigates individual's perspectives and experiences (Koro-Ljungberg, 2009), and that involves an examination of the "interaction between human beings and their world…" through a "social context" (Crotty, 2015).

In addition, a qualitative approach best serves the purpose of the proposed research questions since they investigate the "how," or process, used by university development teams to build relationships with Latino alumni. The study also explores and describes the techniques and strategies that development personnel use to cultivate Latino major gift donors. Qualitative research designs are used to "…address the *how*…(i.e., a process)…of a phenomenon," (Hays & Singh, 2012, p. 4) as well as for studies that are "exploratory" and "descriptive" (Merriam, 2001).

Research Questions

Since there is limited research on giving by Latino alumni, I propose a descriptive study to explore the two research questions:

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

Research Design: Case Study

As the proposed study is exploratory, yet uses relational theory as a framework, the single case study provides me with the opportunity to look at the process and the product simultaneously as well as to test a theory with one case. In fact, Hays and Singh (2012) cite Stake (2005) who says that, "The single case can be used to determine whether a theory's propositions are correct or whether some alternative set of explanations might be more relevant," (p. 46). Case study design also explores "individual(s), events, activities, or processes of a bounded system" (Hays & Singh, 2012, p. 44). In this study, the bounded system is a single, Tier 1, public research university. A case study approach also is defined by Merriam (1998) as "an…analysis of a single…social unit" (p. 21) or a unit of analysis (Merriam, 2001). The social unit or unit of analysis in this study is represented by the development team at the higher education institution.

Merriam (2001) adds that case studies are also particularistic or focus on a particular situation. For the purpose of this study, the particular situation is the process the team undertakes

to cultivate relationships with Latino alumni. In addition, Becker (1968) says that case study design also allows the researcher "to arrive at a comprehensive understanding of the group under study" (p. 233) while Merriam (2001) adds that case study design advances a field's knowledge base and brings about understanding to improve practice. Thus, the case study method best serves the proposed study since the study seeks to fill in the current gap in the literature about how institutions cultivate relationships with Latino donors and strives to improve development practice with Latino alumni by providing a better understanding about how development personnel cultivate relationships with Latino donors so as to successfully solicit major gifts.

Sample Selection

I use purposeful sampling (Patton, 1990) to choose the university that serves as the case study. As such, I selected an institution to "study in depth…from which one can learn a great deal about issues of central importance to the purpose of the research" (Patton, 1990, p. 169). I also selected an institution that is typical, or which reflects the most complete reflection of the phenomenon of the study (Merriam, 2001). As a result, I created a list of criteria that enables me to select an institution that will meet both of these goals (Preissle & LeCompte, 1993). Specifically, I selected one public, Tier One, research four-year institution of higher education that has maintained nearly a 10% or more Latino student population for at least twenty years. The selected institution also has sustained a development program for at least thirty years. According to my eleven years of fundraising experience in higher education, institutions that meet these criteria tend to have a higher number of Latino alumni who provide major gifts to their alma mater for two reasons. First, if the institution has managed a development program for at least thirty years, there is more likelihood that the development operation has reached a certain level of professionalism that would generate major gift activity. Then, if the Latino student

population of the university has persisted at 10% or more for at least twenty years, there is a higher likelihood that the Latino alumni of that institution have reached a certain echelon in their careers to be able to provide major gift funding to their university. I also used data from IPEDS, the Council for Aid to Education reports, and *US News and World Report* to select the institution as well as data from the Hispanic Association of Colleges and Universities. The U.S. government defines universities with 25% or more Latino student population as Hispanic Serving Institutions (Gasman & Bowman, 2013).

Description and Brief History of the Case-study Institution

The chosen institution is a public, four-year, Tier 1, research institution that was a land-grant university founded in the 1860s by bringing together a liberal arts college and a college that focused on the agricultural, mining, and mechanical arts. Over the past one-hundred and fifty years, the university has become one of the highest-ranked public universities in the country. It also ranks highly nationally and internationally in comparison to private institutions such as Harvard, Yale, and Stanford ("[institution name] Facts," 2018). It offers more than 10,000 undergraduate and graduate courses in more than 300 degree programs; and it has an annual budget of $2.8 billion. The university meets the stated criteria for this case study as it is a public, Tier One, research four-year institution of higher education that has maintained nearly a 10% or more Latino student population for at least twenty years, and that has sustained a development program for at least thirty years.

In 2018, a new president of the university arrived at the institution. Diversity and inclusion rank highly on the list of the leader's priorities. In fact, the president envisions the institution as a Hispanic Serving Institution (HSI) within the next ten years. As such, the university will have at least a twenty-five percent Latino student body and will meet other

guidelines prescribed by the federal government to be categorized as an HSI. Institutions that apply and are granted HSI status by the U.S. government become eligible for federal grant funds.

The new president also has begun a planning phase to launch a university-wide capital campaign, which proposes to raise $5-6 billion or more. According to the interviewees who participated in the study, funding to support the HSI goal and other programs within the area of diversity and inclusion are likely to encompass part of the campaign priorities. As such, this study is of particular interest to the institution since the leadership in the fundraising office would like to identify and cultivate Latino alumni and other alumni of color to engage in supporting these goals.

Development and Alumni Relations Program: Brief history and description

For nearly fifty years, the institution has solicited funds from alumni, parents, foundations, and corporations to support students, faculty, and programs, and had its first capital campaign in the 1980s. Last fiscal year, the university raised $569 million by more than 66,000 donors ("[institution name] Annual Report of Philanthropy 2017-18," 2018). Many of these funds supported the institution's endowment, which is valued at $4.6 billion and generates approximately $140.8 million in annual payouts ("[institution name] Facts," 2018).

The structure of the fundraising program consists of a central development office that coordinates efforts with fundraising programs at schools, colleges, departments, and programs of the university. The central development office, which raises funds for the entire university as well as the endowment, employs 265 staff, including fifty-two front-line gift officers; front-line gift officers cultivate and solicit funding for the university through one-on-one meetings with individual donors, many of whom are alumni of the institution. The vice president of development, one of the interviewees of the study, oversees the 265 staff members of the

institution. Fundraising staff at the schools, colleges, and departments and programs numbers at 197; these individuals report to their significant deans and/or departmental and programmatic directors. They do not report to the vice president of development; however, they do liaison through a dotted-line reporting structure with the central development office through the associate vice president of relations with colleges, schools and units (see Figure 2).

In addition to these university-based development personnel, a separate 501(c)3 organization manages alumni relations for the institution, meaning that it also cultivates and solicits alumni for funds and hosts events for alumni in the state where the institution resides as well as in cities across the country. The alumni association was founded in 1872 as an independent non-profit organization. Of the more than 500,000 living alumni, 32,327 of them participate in one or more of the ninety chapters of the association across the country and twenty international clubs. Another separate entity coordinates alumni relations specifically for Chicano and Latino alumni. Named the Chicanx Latinx Alumni Association, this alumni relations organization began in 1984 as an affinity group within the larger alumni relations organization but was founded as a separate non-profit in 2015. According to its website, approximately 3,900 Chicano Latino alumni participate in the association and there are ten chapters across the country. The Black Alumni Club has also recently formed as a 501(c)3 alumni association. This decentralized approach to fundraising adds complexity to the coordination of fundraising efforts for the university; this particular issue will be explored in subsequent sections of this chapter as well as in Chapter Five.

Major/Principal Gift Levels at the Institution. Considering that the focus of this study is the cultivation and solicitation of Latino alumni for major gifts of $25,000 or more, it is important to identify how this institution defines their gift levels as these levels differ depending

on the university. According to the vice president of development, this university defines major gifts as those between $25,000 and above, and principal-level gifts at $5 million or more.

Sources of Data

Merriam (2001) recommends using interviews, documents, and observation as the primary sources of data in a case study (see Appendix A). Thus, in order to answer the research questions, I gathered data using semi-structured interviews, which contain a mix of structured and open-ended questions. The questions fall into four categories suggested by Strauss, Schatzman, Bucher and Sabshin (1981): hypothetical situations, opposing views, ideal situations, and interpretative (see Appendices B & C). I conducted five interviews, including with the vice president of development, the associate vice president of development, two major-gift-level development officers that interact with Latino major gift donors, and the director of Chicanx Latinx Student Development Program. Though I had hoped to use observations of interactions between development officers and Latino alumni, the vice president of development did not permit my gathering of this data. I received guidance from my advisor to replace this dataset with feedback from the interview respondents to my summary of their responses. IRB Certification was sought and approved in order to work with human subjects, and consent forms were approved by each participant. I also conducted a review of documents, such as past and current fundraising print or digital materials, with a focus on those that are directed to Latino alumni.

In order to gain access to this data (interviews and documents), I sent a letter of introduction to the vice president of development at the case-study institution. As Merriam (2001) suggests, I included in my request an explanation of my study's purpose and significance,

as well what I will do with my findings. I also provided information on how the study may benefit the university, as well as how I will protect the confidentiality of all those involved.

Data analysis

I use narrative analysis as the primary technique to analyze my data. Narrative analysis explores "ways humans experience the world" (Connelly & Clandinin, 1990, p. 2) and is "the study of experience through stories…and first-person accounts" (Merriam, 2001). Narrative analysis corresponds well with the primary data that I collected for this study—semi-structured interviews—which includes first-person stories from development officers about the cultivation of Latino donors.

As recommended by Merriam (2001), I simultaneously collected and analyzed my data for the duration of my study. Specifically, Merriam (2001) recommends that I complete the following steps as I analyze the interviews: transcribe and analyze the interviews; review the purpose of the study; review data and make notes; write reflections about the interviews; take note of what I observe or inquire about in the next interview; and compare content of an interview with the previous interview in order to adjust questions for the subsequent interview. In addition, Merriam (2001) suggests that I follow the same steps to simultaneously analyze and collect data during the review of documents. This approach provided me with a set of tentative themes and categories of analysis as I proceeded through my study.

When identifying the categories and themes within my data, I followed Guba and Lincoln's (1981) four guidelines: words or ideas that appear in the interviews with greater frequency signify greater importance to the study; the participants may determine what is important; some categories may stand out because of uniqueness; and certain categories may reveal unrecognized areas of the study.

Data validity and reliability

Hays and Singh (2012) assert that the "notion of trustworthiness" establishes rigor in a study and is particularly important to those viewed through a social constructionism lens (p. 41). They define trustworthiness as validity, which is "evidence of authentic, believable findings for a phenomenon from research that results from a strict adherence to methodological rules and standards," (p. 192). In order to establish validity in my study, I followed four of Merriam's (2001) six basic strategies to build validity in a case study design: triangulation or using multiple sources of data to "confirm emerging findings" (p. 204); member checks, which involve asking participants to review the results and rate their plausibility; peer examinations by three fellow development officers who work in fundraising at other higher education institutions; and clarifying my research biases such as my assumptions and theoretical orientation at the outset of the study. Due to time constraints of my study, I was be unable to follow the other two strategies, which include long-term observations and collaborative modes of research.

In addition to validity, the study also must exhibit reliability, or consistency, which Merriam (2001) defines as "given the data collected, the results make sense" (p. 206). Thus, the goal is that the findings be "consistent with the data collected" (p. 206). I utilized all three of the techniques that Merriam (2001) recommends for increasing internal validity of a study: present my assumptions about the study and my position in terms of the group being studied; triangulate my data; and show an audit trail of the various steps I use to collect and analyze my data.

In order to increase my study's external validity, which Merriam (2001) defines as "the extent to which the findings of one study can be applied to other situations" (p. 207), I followed two of her three techniques, including: using rich, thick description in my data collection and analysis; and implanting typicality categorization in which I describe how typical the relationship

is between development officers and Latino alumni in contrast to their relationships with other donors. These steps sustain my study's trustworthiness.

Researcher Positionality

I am a fundraiser, Latina, and have worked as a major gifts officer for twelve years at a Tier 1, public, four-year research university. Therefore, I am an insider. I have solicited major gifts from Latino and non-Latino alumni, so I have some assumptions and preconceptions regarding these individuals, as well as a preconceived set of techniques used to connect with and close gifts from Latino alumni.

Simultaneously, I am an outsider because the institution that I will select will not employ colleagues nor will I choose the institution where I work for the study. So, I will be able to maintain objectivity regarding the individuals I will interview and observe.

Summary of Chapter Three

I conducted a qualitative research design implementing a single case study method of a public, Tier 1, research four-year institution of higher education that has maintained a development program on its campus for at least thirty years. The case study includes semi-structured interviews, observations, and a review of printed fundraising materials. The purpose is to assess how development/advancement personnel at the selected higher education institution build relationships with Latino major gift donors and the use of certain techniques to solicit gifts or pledges of $25,000 or more from these individuals.

CHAPTER FOUR: RESULTS

In this chapter, I provide results from a qualitative research design implementing a single case study method of a public, Tier 1, research four-year institution of higher education that has maintained a development program for at least thirty years. The purpose was to assess how development/advancement personnel at the selected higher education institution build relationships with Latino major gift donors and how they use certain techniques to solicit gifts or pledges of $25,000 or more from these individuals. I conducted five semi-structured interviews, and a review of eight printed fundraising marketing documents. The common themes among both streams of data include: a lack of representation and engagement of Latino alumni donors; a lack of cultural competency on behalf of the institution; and a lack of a unified strategy to cultivate and solicit Latino alumni for major gifts to the university.

Research Questions

I used the case study to explore two research questions:

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

Data Collection

There were two primary data streams for the study. First, I conducted five semi-structured interviews, which contained a mix of structured and open-ended questions. The questions fell into four categories suggested by Strauss, Schatzman, Bucher and Sabshin (1981):

hypothetical situations, opposing views, ideal situations, and interpretative (see Appendices B & C). The second data stream included development marketing materials that the institution provided me. As proposed, I collected and analyzed the interviews simultaneously. I followed Merriam's (2001) recommendations: transcribe and analyze the interviews; review the purpose of the study; review data and make notes; write reflections about the interviews; take note of what I will observe or inquire about in the next interview; and compare content of an interview with the previous interview in order to adjust questions for the subsequent interview. The only step that I adjusted was the transcription of the interviews; those were completed at the end of data collection but before coding. Thus, during each interview I took detailed notes and reflections, and then used these ideas to inform the subsequent interview. I adjusted some of the questions as a result. I also followed a similar approach to coding the documents. This approach provided me with a set of tentative themes and categories of analysis as I collected my data. These specific themes are outlined in subsequent sections in this chapter.

Identifying the Institution

As mentioned in Chapter Three, I used data from IPEDS, the Council for Aid to Education reports, *US News and World Report,* and the Hispanic Association of Colleges and Universities to decipher an initial list of institutions that could meet the criteria for the case study design. To narrow the list further, I used purposeful sampling (Patton, 1990) to select four institutions that were typical, meaning that they could represent the most complete reflection of the phenomenon of the study (Merriam, 2001). The institutions also met the following criteria: public, Tier One, research four-year institution of higher education that have maintained nearly a 10% or more Latino student population for at least twenty years, and that have sustained a development program for at least thirty years. Then, I sent out letters to the vice presidents for

development at the four institutions. Of the four vice presidents who I contacted, three responded to my inquiry. Yet, only one of the three agreed to volunteer their development program for this case study. That university served as the case study for this research project.

The vice president of development and I discussed the parameters of the study, and I provided her a copy of the proposal for the study as well as the IRB approvals. We discussed that the name of the institution as well as the participants would be kept confidential. As such, no names are used in the reporting of the results. In fact, I also changed the titles of the individuals to more generally used titles instead of the specific titles given to the participants at the institution as they would be easily identifiable. Plus, the name of the institution, though present in the titles of the fundraising marketing documents, would be omitted. We also agreed that the results would be shared with her and any colleagues who participated in the study.

Summary of Data

Interviews

I conducted a total of five interviews of staff members who work at the same institution and that have raised funds from Latino alumni. The staff includes the vice president for development, the associate vice president, two major gift officers, and a director of the Chicanx Latinx Student Development Program who previously led the Chicanx Latinx Alumni Association. All of the staff are women; the vice president has been at this institution for nearly five years, the associate vice president for twenty-five years, the former director of the Chicanx Latinx Alumni Association for nearly thirty years, and both major gift officers were hired four months prior to participating in the interview.

Table 1 shows that each staff member has experience working in the nonprofit field before beginning their careers in higher education fundraising. Many higher education

fundraising professionals begin their careers in the nonprofit sector. All five staff also have experience in alumni relations, which includes activities such as alumni events and/or managing programs at alumni associations. Four of the staff have managed annual fund programs which solicit donors on a regular basis, sometimes annually or quarterly, for gifts ranging from $25-$25,000, depending on the college of school that leads the effort. Two staff members have managed Latino alumni relations programs.

Comparing the experience of the staff to Gallo's (2012, 2013) Institutional Advancement relationship building cycle as shown in Figure 1, alumni relations falls within the Affinity and Engagement stage. The annual fund work falls within the Support stage, and major- and principal-gift-level work falls within all of the stages with an emphasis on the Support stage. Of the three types of activities—alumni relations, annual fund, and major- and principal-gift-level solicitations—only the later involves one-on-one, face-to-face cultivation and solicitation of donors. This type of fundraising work embodies what Garbarino and Johnson (1999) refer to as a high relational exchange, in which the staff member, as the representative of the institution, builds trust and commitment with the alumnus in order to facilitate a higher-level of giving from the individual to the university. Since this type of work results in the highest level of giving from alumni, staff with this expertise are highly sought after by higher education institutions. Three of the staff have experience in this area.

The vice president works with principal-gift-level donors, which for this institution are defined as individuals who have the capacity to give $5 million or more. Capacity is derived from a standard logarithm used by institutions that takes into consideration the potential donor's assets that are known publicly, such as the value of properties that they own as well as other information that would be reported in the individual's taxes. The major gift officers at this

institution work with major-gift-level donors who can give $25,000 to $5 million. These same three staff have successfully solicited major- and principal-gift-level contributions from alumni of their institution. One staff member, the former director of the Chicanx Latinx Alumni Association, has solicited many gifts from Latino donors in face-to-face interactions over the ten years that she led the Chicanx Latinx Alumni Association; however, the range of these gifts was $25-$1000, with a few gifts outside of that range. So, though she has not raised major gifts ($25,000 and more) from Latino alumni, she has the longest history of connecting with Latino alumni of the institution.

Individual Profiles of Interviewees. The vice president of development has led the institutions' fundraising efforts for nearly five years. As the principal fundraiser for the university, the vice president accompanies the president of the university on all fundraising visits with their wealthiest supporters. The vice president also is responsible for the success of the development program of the institution. Prior to this position, the vice president oversaw the development office of another Tier 1, public, four-year research university, and led the fundraising for a school within that same university. Preceding that position, the vice president led fundraising programs for two nonprofit organizations.

The associate vice president of development has worked at the institution for twenty-five years and began her career in the annual fund program. She is an alumnus of the institution. She reports to the vice president of development. She oversees the six operations of the development program at the institution, including principal gifts, major gifts, planned giving, corporate and foundation relations, annual giving, and international fundraising. Prior to her career in higher education fundraising, she also was involved in the nonprofit sector. She does have a small

portfolio of major and principal gift prospects she manages. Before being promoted to her current position, she led the annual fund program of the university for twenty-two years.

The former director of the Chicanx and Latinx Alumni Association and current director for Chicanx Latinx Student Development Program has worked on campus for nearly thirty years. Similar to the associate vice president, she is an alumnus of the institution. In contrast to the four other staff members, she works closely with Latino students. Historically, her job positions have been housed in student services not in fundraising. In fact, for all of her career on campus, she has implemented programming for Latino students as well as taught classes in the ethnic studies department. In order to finance the programs that she has led, she learned fundraising. She acquired her fundraising skills through training from the local chapter of the Association of Fundraising Professionals; received a Certificate of Fundraising from the University of San Francisco; and from on-the-job activities. She led a fundraising effort at her institution to benefit undocumented students; the program for which she raised funds and in which she participated in the creation, received national recognition for its ingenuity and ability to meet students' needs.

Of the interviewees, she has the longest history of working directly with Latino alumni of the institution, many of whom were students when she first engaged them. These Latino alumni, especially those who became members of the Chicanx Latinx Alumni Association, place a great amount of trust in her. In fact, according to her interview, they contact her when they receive fundraising appeals from the university that solicit contributions for Latino students or programs. The alumni verify with her that the effort will actually serve Latino students. Though she has cultivated and solicited donations from the alumni, she does not work in the development office, as such, she does not report to the associate vice president. Her fundraising and engagement

work as well as that of the current executive director of the Chicanx Latinx Alumni Association occurs outside of the purview of the development office.

Both of the major gift officers have worked with the institution for four months as of the date of the interviews, which occurred in October 2018. One of the gift officers began her fundraising career at the institution's alumni association. As mentioned, the alumni association operates independently of the institution's development program. In addition to leading the annual fund, she led the major gift fundraising program for scholarships at the alumni association where she cultivated and solicited alumni for contributions during face-to-face, one-on-one meetings. The other major gift officer led an alumni and parent fundraising program at a private higher education institution in the same state as the case study institution. She oversaw annual fund appeals as well as cultivated and solicited gifts from individuals in face-to-face, one-on-one meetings. Both major gift officers work within a single development operation that services the institution's Student Experience and Diversity unit, which includes Equity and Inclusion, Student Affairs, Undergraduate Education. Prior to January 2018, each one of these areas had their own development team. Currently, one team services all three areas since they comprise the unit.

Documents: Brochures, Case Statements for Funding, and Reports

The institution made available eight development marketing pieces, including: three brochures that provide basic information about the College of Chemistry, the School of Engineering, and facts about the greater institution; three case statements for financial support; and two pieces that report on the institution's growth over the last 150 years as well as an annual fundraising report. Both of the multi-fold brochures about the College of Chemistry and the School of Engineering speak directly to potential students as the pieces highlight statistics such as types of undergraduate and graduate degrees, enrollment numbers of undergraduates and

graduates in the program, number of faculty and awards that they have won, as well as information about careers in which the alumni from the school/college enter. The third piece highlights facts about the institution that show its prestige. For example, a section entitled "Rankings and Honors" states that the institution is one of the best global universities for 2018 and one of the top-ranked in the U.S.; plus, more than twenty faculty of the institution have won Nobel Prizes, some of whom are alumni of the institution. Other sections include: teaching and research, public service, funding and costs, funds raised by philanthropy, and a list of ways to reconnect as alumni. All three pieces were published at the beginning of 2018 and feature diverse students and faculty in terms of age, gender, race, ethnicity, and religion. The purpose of these brochures is to recruit students (and their parents) and faculty to the institution, as well as to impress donors, many of whom are alumni whose degree gains greater value as the institution and its colleges remain highly ranked both nationally and globally.

The case statements, which are solicitation pieces, are used to discuss potential funding projects or initiatives with prospective donors. One of the three pieces solicits support for an unrestricted fund valued at $15 million, which the new president will use to recruit top early-career faculty to campus. It states that the institution "…see[s] a great return on this investment, since a relatively small amount of funding early on in an academic career often enables novel research that later attracts large-scale funding" ("Chancellor's Impact Fund," 2018). Most of the piece focuses on the value that early-career faculty bring to campus; however, a short paragraph also mentions undergraduate scholarships, which is an ancillary, but smaller, part of the $15 million effort. The second case statement solicits support for a building that will house three different disciplines, psychology, education, and public health. The piece focuses on how the three schools will share the space and leverage an interdisciplinary approach to solve the

country's most pressing social needs. One section describes the three different schools and their individual approach to working on social needs, and the section following this one discusses the collective vision of the three schools to utilize their distinct programs to make a greater impact on community change. The brochure does not include the budget for the project, nor does it mention the amount of money that the institution would like to raise to erect the building. However, the back inside cover does have a flap under which a specific proposal for a donor may be inserted. The third case statement requests support for an "African American Initiative," which will help the institution fulfill one of its "core values as a welcoming and thriving place for African American students, faculty, and staff" ("[institution name] African American Initiative," 2018). Specifically, the university would like to raise $20 million for an endowment that will: support scholarships for undergraduate African American students; increase diversity among faculty and administrative senior management; and provide programming to "improve the classroom climate" ("[institution name] African American Initiative," 2018).

Two of the eight materials represent reports on the institution's history and progress toward its goals. One piece reflects upon the last 150 years of the institution and highlights accomplishments for which the university is proud. Some of these achievements include being one of the first institutions of higher education to admit women, leading the country in launching a program to service undocumented students, as well as the site where faculty and students created open-source software. The report also includes features on alumni and their giving to the institution; these short pieces equally highlight the donor and the program that received the financial support. In fact, these features comprise half of the report. The second report that the institution provided is the annual report on philanthropic giving. It includes many statistics on how much funds were raised in 2015-2016 in comparison to previous years, as well as the

sources of these funds. Yet, its primary function is to thank and highlight the donors who have supported the university in the last year. In fact, slightly more than forty of the hundred pages lists donors to the institution, while another thirty-five pages contain features of specific donors and the programs they support. These two reports, both quite longer than the previous information or solicitation materials, can be defined as stewardship pieces since they represent ways that the university shows its appreciation to its supporters and expresses the impact their giving has had on the institution.

Observations

Unfortunately, the institution did not agree to permit observations of interactions between development staff and Latino alumni. The vice president of development did not feel comfortable putting Latino alumni in a position where their private conversations with development officers would be available for observation or documentation. As I had planned to triangulate my findings among the three datasets (interviews, documents and observations), my advisor guided me to replace the data that I would have obtained vis a vis the observations with feedback from each respondent regarding their responses to my interview questions, as well as follow-up questions after the interviews. As such, each respondent was provided with a copy of my summaries of their responses as well as my descriptions of them. I also sent follow-up questions to each participant to clarify confusion regarding a few of their responses. Each of the respondents stated that my summaries and descriptions clearly reflected their intentions. They also responded to my questions with additional information. I chose to solely send each respondent my summary of their response in contrast to the summaries of all responses so that their feedback would be solely grounded in their responses not in those of others. This approach

eliminated any innate desire to compare their comments to those of others, and thus, be influenced to adjust their responses or point of view.

Main Points: Each Respondents' Main Points Regarding Latino Alumni and the Institution's Development Program

Vice President of Development

In her interview, the vice president states that she focuses a majority of her time on creating and implementing the institutional strategic approach to cultivate and solicit principal-gift-level donors. As such, her responses to the questions were contextualized by her experience working with the three Latino alumni in her portfolio of donors, all of whom have the capacity to give $5 million or more to the university. Overall, she believes that certain Latino alumni, especially those who are principal-gift-level donors, have positive feelings about their relationship to the institution. She believes that their high level of satisfaction is related to three primary points. First, these alumni—one who holds a high-level position at a prominent finance company, another who led a large pharmaceutical company, and a third who is independently wealthy—receive "concierge access" to the campus (vice president of development, personal communication, October 5, 2018). As such, they meet and spend time with the president of the university and attend exclusive events as well as participate on advisory groups where they engage with other high-net-worth individuals who donate to the university. Second, the university focuses on building a relationship with each of them and does so by connecting to the alumni's interests and passions. The vice president says, "…we got to know him [referring to one of the alumni]…and…we've had days on campus where he's met with key faculty who were doing work in areas he cares about" (vice president of development, personal communication, October 5, 2018). This process leads to solicitations that are tailored to the alumnus' specific

interests. The vice president says of one alumnus, “He’s made investments here to the things he cares about. It isn’t us coming with a wish-list of ‘Here is what [institution] wants,’…what matters to him and what he’s passionate about, he can do here at [institution] and we can find a way to make those things come together that makes him feel good” (vice president of development, personal communication, October 5, 2018). This personalized approach comprises the strategy for principal-gift-level donors who can make big impacts on campus with their gifts. Third, the vice president stresses that leadership, meaning the president of the institution, plays a major role in the cultivation of these high-net-worth individuals, which is key to the alumnus feeling engaged, and ultimately, inclined to make a six- to seven-figure contribution to the institution.

The vice president states that some Latino alumni do not have a positive view of the university because as students they had negative experiences, and that many times the university was not a welcoming place for them. She said that many Latino alumni felt like the “only,” referring to the only person of color in a classroom of mostly white students; this sense of isolation was not comforting. She added that the president of the university empathizes with these alumni because when she arrived on campus, she too faced discrimination due to her gender. The vice president also said that though the student body is much more diverse, the board of trustees and advisors of the university are in need of more diversity in regards to region, gender, race, ethnicity, and sexual orientation. Ideally, the vice president says that she would like to hire additional front-line gift officers who are more racially and ethnically diverse. She also would like more coordination and integration with the alumni associations. As stated previously, the primary alumni association operates independently from the development program of the university, and the Chicanx Latinx alumni association operates separately from both. She

believes that more coordination among the three groups would strengthen the engagement of Latino alumni to students and faculty.

Associate Vice President of Development

The associate vice president provides additional observations about the institution's development program regarding engagement and cultivation of alumni of color, not solely the Latino community. At the request of the vice president, she describes in detail an effort that the institution started about two years prior to the interview that focused on raising monies to provide African American students on campus with partial scholarships to attend the institution so that the university could raise its admission yield of African American undergraduate students. The vice president mentions the program in her interview as presenting a potential model for a broad, comprehensive way to approach Latino alumni for major gifts. The associate vice president's responses align with the vice president's position, however, the associate vice president states that the "African American Initiative" has been a challenging fundraising campaign. She has two primary concerns about the program.

First, leadership changes have resulted in the lack of a consistent "a driver," someone in an administrative leadership position to direct it and chart its progress. The three university leaders who initiated the program all have left their positions. Second, though the effort successfully raised more than $1 million in its first year and a half, very few African American alumni or alumni of color donated to the effort (associate vice president of development, personal communication, October 5, 2018). So, though the effort was originally designed to build connections among African American alumni and current African American students, it has failed to attract the former community so far.

The reason for this failure to engage African American alumni arises out of an overarching criticism of the institution's lack of an effective targeted alumni engagement program that is described by the fundraiser who worked on raising money for the effort and with which the associate director agrees. The associate director relays that, "…the fundraiser..was finding that it's very difficult to have a conversation with somebody who's been out of the mix for ten, twenty, thirty years, and [it's difficult] to start a cultivation process with them when they're not even ready to have that conversation, regardless of whatever kind of…capacity they have" (associate vice president of development, personal communication, October 5, 2018). Thus, according to the associate vice president, historically, the university has not engaged with major-gift-level African American alumni; they are not as connected to the university, in her opinion, as major-gift-level non-black alumni. She adds that the institution has no specific strategy to engage major-gift-level alumni of color or connect them to programs to which they could provide financial support. One reason that she gives for this lack of an institutional strategic approach to engaging alumni of color is because the development program has not been able to easily identify them since the alumni database does not include the race or ethnicity of alumni. So, the development program is unable to easily identify which alumni are Latino or other ethnicities and races; subsequently, it cannot easily design a development effort that focuses on these communities.

Whatever the reason, the associate vice president recognizes that in order to engage and cultivate alumni of color the institution needs to build trust with them and show that it values them. Ideally, she would like to hold a series of symposium with alumni of color so that the institution can learn more about their experiences, the impact that the institution had on their careers and lives, and what they are doing today that connects with the larger vision of the

university. She believes that it is key to bring alumni of color into the university as "thought partners" not solely as donors, which can result in earning their trust and thereby their financial support.

Director for Chicanx Latino Student Development Program

The responses of the director for Chicanx Latinx Student Development Program support this idea of building trust with Latino alumni through engagement programming like the associate vice president's symposium. She says, "…when you build community, then you have trust…and…the money will come" (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018). She continues, "…as…director of Chicanx and Latinx community…I am creating community so students feel that they belong…that they're actually part of an institution that actually supports them..and engage them to..give back eventually" (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018). The director adds that building community, though it may be part of her work in student development, is not a primary or even an ancillary goal of the fundraising approach that the development office follows.

In fact, she says that the development office's framework lacks cultural competency. She states that the development office lacks representation of racial and ethnic diversity among the front-line gift officers as well as in its communication materials. She says that the materials are "very dry" and do not resonate with Latino alumni or alumni of color (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018). Though, she does state that the institution is not alone; in her opinion, most higher education development programs lack cultural competency and diversity. She believes that when you couple this problem with the fact that most Latino alumni and other alumni of color experienced racism and

other forms of aggression on campus while they were students, that it is difficult for the Latino and other communities to trust the institution's intentions when it solicits them for contributions. Since many Latino alumni know her as an advocate for students (many alumni remember that she assisted them while they were students), she believes that they trust her more than the development office. She says, "…people trust me, so they call me. For example, when they're saying, 'Hey [name], is this real? Should I be giving to this?' because I'm a pillar in the sense of information for them. I might not be a [president] or [vice president] but they call me first" (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018).

She says that this lack of trust that Latino alumni have in the institution as well as their recollection of negative experiences on campus while they were students, encourages many Latino alumni to feel disconnected from the institution and the broader alumni association. As a result, Latino alumni formed their own Chicanx Latinx Alumni Association. Though she directed this association for many years and believes it should continue to operate independently from the university, ideally, she thinks that the development office and the Chicanx Latinx Alumni Association should coordinate their fundraising efforts with Latino alumni. She says, "…we're not talking to each other…it's about coordination and communication" (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018). She thinks that the development office and the Chicanx Latinx Alumni Association can work in teams to cultivate and solicit Latino donors.

In addition, she says that the development office should hire more diverse gift officers who know the community and who are creative as she believes that the typical frameworks used for higher education fundraising do not resonate with Latino alumni or alumni of color. She

thinks that the development office should rethink this framework. Perhaps development leadership can reflect upon if its approach to fundraising—which she believes is overly influenced by the amount of money that needs to be raised in contrast to developing different ways to engage alumni that include opportunities to give resources other than money—and consider more deeply how the Latino community on campus is impacted by the specific fundraising initiatives that the development office chooses to support and those that it does not. For example, she says that she fears that if the development office focuses on soliciting Latino alumni to help the institution become an HSI, that fundraising for other Latino programming could be curtailed. Specifically, she asks "…how do we put development in front of some of these programs that are already here, but they need to be scaled up to make this campus even a better campus" (director for Chicanx Latinx Student Development Program, personal communication, October 5, 2018). Ultimately, she believes that the development office and the Chicanx Latinx Alumni Association need to better coordinate their strategies to meet their goals and respectfully engage Latino alumni. She says, "…at the end it's the relationship" with the Latino alumni that is most important.

Major Gift Officers

The Division of Equity and Inclusion hired two major gift development officers who are front-line fundraisers. They will be identified as major gift officer one (MG1) and major gift officer two (MG2). Similar to the director of Chicanx Latinx Student Development Program, MG1 believes that the development office would benefit greatly by reflecting upon the framework that it uses to engage alumni. She says that Latino alumni, at least those from whom she has successfully solicited major gifts, give back to their alma mater for different reasons than white alumni. First, she believes that Latino alumni donors relate to the Latino students to whom

their funds are supporting. She says that the Latino alumni say that they can "…understand the students and their experiences" and that when they give to Latino students, they see those contributions as a "celebration of their success and that they are putting it back into their culture and their people" (major gift officer one, personal communication, October 5, 2018). In comparison, many of the white alumni from whom she has solicited major gifts do so out of altruism not because they share similar experiences as Latino students that they support nor because they feel kinship with the students. Second, she says that Latino alumni make their philanthropic decisions as a family; they take into consideration their spouse and or other family members when deciding the right time to make the contribution and what area of campus it will support.

Though she has closed some major gifts from Latino alumni from this university, MG1 does believe that the institution has not historically engaged Latino alumni or other alumni of color. She says, "We haven't been doing a lot of approaching" (major gift officer one, personal communication, October 5, 2018). For that reason, she says, it can be awkward for her to contact Latino alumni and solicit them for gifts right now when historically they have never received engagement from the institution. She states, "…maybe they…felt like they were the other and they didn't belong [as a student]. Then they leave and graduate, and campus doesn't do anything with them. And then I'm supposed to come in and ask them for money…that's really awkward" (major gift officer one, personal communication, October 5, 2018). When campus does try to reach out to them, MG1 believes that they do so in a way that does not resonate with Latino alumni. She says, "…the model has been very…generic" (major gift officer one, personal communication, October 5, 2018). Ideally, she wants the development office's approach to be more culturally relevant to Latino alumni and other alumni of color; specifically, she thinks that

the fundraising materials need to better reflect the interests and cultures of alumni of color. She believes that if the office had access to more specific data about alumni, they could better segment and then specialize their approaches. She also thinks that more racially and ethnically diverse gift officers need to be hired as Latino alumni and other alumni of color feel "…more of a comfort and an ease and a willingness to share about their experience" (major gift officer one, personal communication, October 5, 2018), when they are meeting with gift officers who also are people of color. In addition, she believes that the development office's current framework needs to be reimagined, as mentioned by the director of Chicanx Latinx Student Development Program. Right now, she says, the development office only "…see[s] green…unless that person is actively giving, campus doesn't really pay attention" (major gift officer one, personal communication, October 5, 2018). As a result, most Latino alumni who have never historically been engaged and that are not currently giving, are not engaged by the development office; so, they will not give in the future either.

Despite these challenges, MG1 is committed to the mission of the Division of Equity and Inclusion. She also believes that as a Latino she can connect with Latino alumni in a more authentic way. She says, "…it's less transactional…there's just a natural trust because of the cultural commonalities" (major gift officer one, personal communication, October 5, 2018). This trust between the gift officer and a Latino alumnus enables the alumnus to better connect with the alma mater, and according to MG1, give back to other Latino students.

MG2 also believes that the development office must alter its traditional approach to engaging major gift donors if it hopes to successfully solicit gifts from Latino alumni. According to her, the traditional approach must be altered because traditionally Latino alumni who have major-gift capacity have not been engaged (major gift officer two, personal communication,

October 5, 2018). This practice must change if the institution hopes to raise funds from Latino alumni and other alumni of color. She says that a Latino major-gift-level alumnus shared the same sentiment with her. She states, "…he's like, 'I'm the only Latino in…this suite of boxes at the…game…[and] I'd like to see more participating at the level that I am and I know they have the capacity, they just haven't been engaged or cultivated at all'" (major gift officer two, personal communication, October 5, 2018). He has been emailing her names and contact information of other Latino alumni who have major-gift-level capacity so that she can connect with them. In addition to engaging Latino alumni, MG2 believes that the development office can add engagement events where Latino alumni can share their personal stories as well as the history of their experiences as a community on campus. She mentions the strike by alumni of color to establish Ethnic Studies at the university as well as propositions and federal laws that discontinued the use of affirmative action in admissions. These types of political events greatly impacted Latino alumni's experience on campus, and they should be more prevalent in development communications. MG2 believes that this information will help the development office create a more relevant and strategic approach to working with Latino alumni since she does not see any strategy at this time.

The political events of the past impact the approach that MG2 and other gift officers use when connecting with Latino alumni, especially since many Latino alumni chose to create their own Chicanx Latinx Alumni Association that does not integrate with the development office. She states that "…it makes sent to me why that happened, but it makes it that much harder to engage Chicano Latino alumni…it's really tricky and nuanced for me to navigate through all of the political histories that have led to the landscape we have now" (major gift officer two, personal communication, October 5, 2018). As such, she believes that ideally the development

office should hire racially and ethnically diverse front-line gift officers who understand the experiences of Latino alumni at the institution and can "handle conversations around identity" as well as be open to hearing "critique and feedback that [alumni] have on the institution" (major gift officer two, personal communication, October 5, 2018). Gift officers need to be able to "lean in" to these conversations and listen because she believes that the alumnus will think "…I can actually talk to you and share my experience…and [my contribution] is relating to change and creating student impact" (major gift officer two, personal communication, October 5, 2018). In addition, she thinks that the development office needs more data about the alumni so that they can create more culturally relevant programs as well as those that relate to the various interests with which alumni identify; for example, an alumnus may identify as Latino as well as a scientist and an entrepreneur. With this type of information, the development office can design a more strategic, authentic way to connect with the alumnus. Also, engagement events should recognize the achievements of alumni of color and allow them to connect with students of color. By focusing on building authentic relationships with Latino alumni, MG2 believes that more will "figure out how to give…in a way that's compelling" (major gift officer two, personal communication, October 5, 2018).

Though MG2 feels passionate about the mission of the Division of Equity and Inclusion, she does believe that the institution must make some improvements if it intends to successfully solicit more major and principal gifts from Latino alumni. First, the university should have more Latinos in leadership positions. Second, the institution must create a cohesive strategy for Latino major gift donors that integrates the development office, the alumni association, and the Chicanx Latinx Alumni Association. Third, the university must improve its recruitment and yield of

Latino students. By focusing on these three and other specific goals, MG2 feels like the institution can successfully engage more Latino alumni.

Themes: Interviews and Documents

In order to isolate the overall themes of the case study, I followed Guba and Lincoln's (1981) four guidelines. During data collection and coding, I identified words or ideas that appeared in the interviews with greater frequency to signify the greater importance to the study. I also asked the participants to determine what was important. As Guba and Lincoln suggests, some categories stood out because of uniqueness while others revealed unrecognized areas of the study.

Themes in the Interviews

According to Table 1, there are some common themes among the responses from all of the interviewees. First, four out of the five interviewees state that the university's development office has not historically engaged Latino alumni. Second, the same number believe that the development office lacks a current strategy to engage Latino alumni. Third, three of the five interviewees think that the current development office program's approach to connecting with Latino alumni lacks cultural competency. Fourth, three of the respondents believe that development materials, such as brochures, need to be much more culturally relevant to Latino alumni. And, fifth, four out of five interviewees agree that the development office should hire more racially and ethnically diverse gift officers.

In addition to these observations, the respondents share the same observations about Latino alumni. For example, all respondents agree that Latino alumni endured negative experiences as students, including racism and other forms of oppression. Many felt like the "only" Latino or person of color in the classroom. As such, many Latino alumni do not trust in

the institution and do not want to give back to their alma mater. They do not feel connected to or engaged by the university.

The respondents agree upon ways the development program can improve its work with Latino alumni. All respondents agree that development officers must focus on building relationships with Latino donors in contrast to focusing solely on the alumnus' gift capacity or closing the gift. All but one respondent believe that the approach should acknowledge the Latino alumnus' history and experience as a student, and that the strategy to engage the alumni should be integrated with that of the Chicanx Latinx Alumni Association and the broader alumni association. Four of the five respondents also say that the university should consider a hybrid framework for engaging and cultivating Latino alumni. This framework could include traditional ways of cultivating donors, such as placing alumni on advisory boards, as well as more culturally relevant ways of engaging Latino alumni like creating giving circles and collective fundraising opportunities, as well as historically contextualized events that celebrate the achievements of Latino alumni as individuals and as a group. This type of framework can better instill trust between the institution and the Latino alumni, which three of the five interviewees feel is an important part of an ideal development program.

Themes in the Documents

Lack of Latino Representation and Involvement. Among the eight documents that the institution provided, there is a dearth of Latino representation throughout all of the materials. One of the eight publications, the case statement for the building, does have a photo of a woman in a suit who appears to be Latina, however, it is not clear if the photo depicts a setting of the institution or is of one of the hospitals or other settings where the psychology, education and public health departments practice. Not one of the seven other publications feature Latino

faculty, students, programs, or donors. In fact, the information brochure does not mention the Chicanx Latinx Alumni Association though it does provide contact information for the general alumni association. Though the more recent publications do show more people of color, they are more often Asian American than Latino or black.

Plus, the philanthropy report shows a lack of Latino alumni and donor involvement. Of the thousands of donors listed in the publication, only eleven have Spanish-language surnames. These eleven gave $25,000 or more annually in 2015-2016. Of these eleven, two have given $500,000 to $999,999 cumulatively to the university while two have given $1 million or more over the years to the institution. One Latino donor out of thirteen donors has pledged over the course of his lifetime between $15 million to $24.9 million; however, the pledge was for art work produced by the donor in contrast to a cash gift. Also, there are no Latino people on the university foundation's board of trustees for 2015-2016.

Lack of Overall Diversity and Cultural Competency. The 2015-2016 annual report on philanthropy, which is the oldest of the eight development materials that they institution provided, represents a lack of overall diversity and cultural competency. This publication has the least number of photos of people of color. In fact, not one photo of a black or Latino person is featured throughout its one hundred pages whether the photo be of a student, faculty member, or donor. There are forty-three photos of people (which face the reader) that appear in the publication, and not one is of a black or Latino person. Asian Americans do appear in the publication; however, the two photos in which Asian American students are featured they are writing Chinese or Thai characters on a chalkboard. This type of depiction feeds into the stereotype that Asian American students could be perceived as foreigners since they are only depicted as being connected to a language other than English. Nineteen percent of the photos are

of women; yet, not one of the women are represented as faculty, all are students featured around white male faculty. As such, the publication promotes females in a subordinate role to men.

The other seven publications were published at least a year after the philanthropy report, and after a new president took leadership of the institution. Visibly, all of the publications' photos depict much more ethnic and racial diversity than the philanthropy report. In fact, the case statement for the African American initiative only features black students and faculty. The information brochures about the College of Chemistry and the School of Engineering also show students and faculty of color. The information brochure that focuses on statistics shows a cover that features a photo of students of various ages, races, ethnicities, and religions walking through the iconic gates of the institution. These more recently published development materials also show women in positions of power such as faculty members or administrators. For example, in the case statement for the building, a Latina woman is featured as a faculty member.

Other reflections. Though all of the eight publications use the same color palette, they do not share the same design qualities. For example, some of the pieces use many photos while others contain no photos but use instead a variety of font designs and sizes for visual appeal. The two brochures about the College of Chemistry and the School of Engineering are extremely heavy on text so that the font is small in contrast to the other pieces. Also, the quality of the paper used for printing differs greatly among the pieces; some of them utilize cardstock while others make use of lightweight paper. In addition, there is inconsistency in tone and language among the pieces. This contrast is especially evident in the piece about the African American Initiative. Though it is a solicitation piece, it features words such as "student yield," which may appeal to a university administrator that is interested in increasing this statistic but does not translate well to a potential donor who does not work at university admissions. Also, this piece is

the only one that does not talk about accomplishments or accolades; ironically, it calls for support of African American students and faculty but does not relay what they have already accomplished at the university.

Overall, the eight pieces do not share a unified institutional message, nor do they correspond with one another. For example, if a potential donor receives the philanthropy report and the case statement for the African American Initiative in the same packet, these two materials do not share the same message either visually—the philanthropy report shows not one single black person while the case statement features black students and faculty—or in their messaging since the report states that the institution is meeting its goals as a result of philanthropic support but the case statement for the initiative asserts that the institution is failing to meet a core value of being a welcoming space for African Americans and other people of color. Currently, there is not a unifying message that appears in each piece nor is there a piece that refers to the others so that the reader could understand how they fit into the larger story of the university.

Themes Appearing in both Sets of Data

Lack of Engagement and Representation of Latino Alumni

First, both the interviews and the documents show that there is a lack of representation of Latino alumni donors. Four out of the five interviewees state this point in their interviews, and not one of the seven other publications feature Latino faculty, students, programs, or donors. Also, the general information brochure of the university does not mention the Chicanx Latinx Alumni Association though it does provide contact information for the general alumni association. The interviewees also said that the institution has not engaged Latino alumni; this

point is supported by the dearth of Latino involvement in the philanthropy report from fiscal 2015-2016.

Institutional Cultural Competency

Second, the interviewees' responses and the documents indicate a lack of cultural competency on behalf of the institution. Three of the five respondents believe that development materials, such as brochures, need to be much more culturally relevant to Latino alumni and other alumni of color. The documents indicate a lack of cultural competency as there are very little Latino and/or black students present in the documents. Even though there is more Asian American presence, when they appear, they are featured writing Chinese or Thai characters on a chalkboard. This type of depiction feeds into the stereotype that Asian American students could be perceived as foreigners since they are only depicted as being connected to a language other than English. Thus, the documents display images that do not accurately represent people of color. The interviewees echo this point in their statements.

Lack of Unified Strategy to Identify, Cultivate and Solicit Latino Alumni

Third, both the interviewees' responses as well as the brochures and other materials indicate a lack of a unified strategy to cultivate and solicit Latino alumni for major gifts to the university. The documents fail to present a cohesive, unified message to Latino alumni. In fact, there is no message evident in the materials that targets Latino alumni. The respondents agree as four out of five of them state that the development office lacks a current strategy to engage with Latino alumni.

Summary

In this chapter, I reported the results from the single case study of a public, Tier 1, research four-year institution of higher education that has maintained a development program on

its campus for at least thirty years. The case study data included five semi-structured interviews, and eight printed fundraising marketing documents. The purpose of the case study design was to assess how development/advancement personnel at the selected higher education institution build relationships with Latino major gift donors and how they use certain techniques to solicit gifts or pledges of $25,000 or more from these individuals.

The chosen institution was a public, four-year, Tier 1, research institution that has maintained nearly a 10% or more Latino student population for at least twenty years, and that has sustained a development program for at least thirty years. The institution's structure of its fundraising program consists of a central development office that coordinates efforts with fundraising programs at schools, colleges, departments, and programs of the university. In addition to these university-based development personnel, a separate 501(c)3 organization manages alumni relations for the institution, and another separate entity coordinates alumni relations specifically for Chicanx and Latinx alumni.

The common themes among both streams of data include: a lack of representation and engagement of Latino alumni donors; a lack of cultural competency on behalf of the institution; and a lack of a unified strategy to cultivate and solicit Latino alumni for major gifts to the university. In the following chapter, I will discuss these results further, especially within the context of Gallo's (2012, 2013) Institutional Advancement relationship building cycle.

CHAPTER FIVE: DISCUSSION

This chapter presents a summary of the study and a discussion of the conclusions drawn from the data presented in Chapter 4. It also includes the implications for action as well as recommendations for future research.

Summary

Alumni giving is a primary revenue stream for higher education institutions (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005). In addition, large gifts from alumni, such as those at a level of $25,000 or more, are critical to higher education institutions (Troop, 2014). The National Center for Education Statistics (2014) reports that from 1976 to 2012, Latino enrollment at public institutions grew faster than non-Latino whites, African Americans, and Asian Americans. Considering this growth, and that higher education institutions rely so heavily on philanthropy to remain competitive, colleges and universities must consider the impact that Latino philanthropy will have on their institutions. Therefore, the purpose of this exploratory, qualitative study is to examine how development personnel at public higher education institutions cultivate relationships with Latino alumni. Specifically, I selected a four-year public institution as a case study for my research to examine how current fundraising operations engage Latino alumni. I used the case study to explore two research questions:

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

I conducted five semi-structured interviews, and a review of eight printed fundraising marketing documents. In Chapter 4, I presented that the common themes among both streams of data, which include: a lack of representation and engagement of Latino alumni donors; a lack of cultural competency on behalf of the institution; and a lack of a unified strategy to cultivate and solicit Latino alumni for major gifts to the university.

In this chapter, I discuss the findings within the context of the literature presented in Chapter 2, and I analyze the results using the theoretical framework presented by Gallo (2012, 2013). I answer the two research questions posed in the study and share what of the findings surprised me. I conclude the chapter with recommendations for practice as well as for future research.

Findings related to the literature

The findings presented in Chapter 4 align with certain aspects of the literature presented in Chapter 2. First, the Chicanx Latinx Alumni Association mentioned in Chapter 4 is similar to the *cofradías religiosas* and *mutualistas* cited in the Center for Philanthropy and Civil Society (2003). Second, the findings indicate that Latino alumni at the case-study institution do not trust the university, which aligns with the argument that Cortés (2002) presents in his article that shows that in general Latinos lack trust in formal institutions. Third, as Gasman and Bowman (2013) state in their book about the lack of diversity among the staff of higher education development programs, the case-study institution does not have a diverse fundraising staff nor does it engage alumni of color in ways that are relevant to their experience.

In this case study, the Chicanx Latinx Alumni Association, which operates independently from the selected institution, is similar to the *cofradías religiosas* and *mutualistas* cited in the Center for Philanthropy and Civil Society (2003) report in Chapter 2. Similar to these nonprofit

entities, which operated independently from mainstream philanthropic organizations and provided services solely to other Latinos, the Chicanx Latinx alumni association exists outside of the established alumni association and development infrastructure of the case-study institution and the association directly serves Latino alumni and students. The findings in Chapter 4 also support another argument presented by Cortés (2002) when he refers to studies by De la Garza and Lu (1999), O'Neill and Roberts (2000), Rivas-Vasquez (1999), and Royce and Rodriguez (1999); their studies state that Latinos lack trust in formal institutions. As mentioned in the previous chapter, four of the five respondents said the same of the Latino alumni of the case-study institution. They state that Latino alumni do not trust the institution for various reasons, including that many endured negative experiences as students and many have not felt that the institution has engaged them in a meaningful, relevant way since graduation. As a result, they do not hold the university in high regard. In fact, the director of Chicanx Latinx Student Development Program shared that many Latino alumni doubt so heavily the appeals for funding that they receive from the university that they contact the Chicanx Latinx Student Development Program director routinely to assure them that the appeals are valid, specifically when the appeal is for a Latino-focused program on campus.

Regarding the internal operations of institutions, Gasman and Bowman (2013) state that though organizations and institutions of higher education are making efforts to diversify their fundraising staff, they continue to lag behind other industries. They add that fundraising officers fail to fully engage alumni of color, many times not asking them in, "ways that are relevant to their lives and interests," (p. 75). The findings from the case study also support these assertions from the literature. First, four out of five interviewees agree that the development office does not have a racially and ethnically diverse staff of gift officers who connect one-on-one with Latino

alumni. Second, three of the five interviewees think that the current development office program's approach to connecting with Latino alumni as well as the development materials, such as brochures, that are used to cultivate philanthropy need to be much more culturally relevant to Latino alumni.

Thus, the case study findings support key points from the literature. Similar to the *cofradías religiosas* and *mutualistas* cited in the Center for Philanthropy and Civil Society (2003) report that exists outside mainstream philanthropic organizations, the Chicanx Latinx Alumni Association operates independently of the established alumni association and development infrastructure of the case-study institution. The findings also show that Latino alumni at the case-study institution do not trust the university, which aligns with the argument that Cortés (2002) presents in his article, which refers to studies by De la Garza and Lu (1999), O'Neill and Roberts (2000), Rivas-Vasquez (1999), and Royce and Rodriguez (1999) that show that Latinos lack trust in formal institutions. Finally, as Gasman and Bowman (2013) state in their book about the lack of diversity among the staff of higher education development programs, the case-study institution does not have a diverse fundraising staff, nor does it engage alumni of color in ways that are relevant to their experience.

Findings Related to the Theoretical Framework

The proposed study uses Gallo's (2013) Institutional Advancement (IA) relationship building cycle as the tool to measure how relational theory is realized within the relationships built between development officers and Latino alumni (see Figure 1) for the cultivation and solicitation of major gifts. Gallo's (2013) IA cycle is based upon an alumni relationship-building paradigm that includes

- Defining affiliation, in which the university researches information about the alumnus and begins to build a database of information about the alumnus;
- Building affinity, in which the institution communicates with the alumnus through digital and printed newsletters, announcements, press releases, and other modes of communication;
- Fostering engagement, in which the university engages the alumnus in attending networking and social activities, as well as other events, hosted by the institution; and
- Securing support, in which the institution successfully solicits the alumnus for contributions and volunteer service.

This study's findings show that the case-study institution fails to engage Latino alumni in Gallo's IA cycle (Gallo, 2012, 2013) to cultivate and solicit major gifts from Latino alumni. First, the institution fails to define affiliation between the institution and its Latino alumni. According to Gallo's IA cycle, an institution defines affiliation by gathering data on its alumni base to build a database with information about its alumni; this information could include demographics of the population to areas of campus that the alumni support as well as activities that the alumni conducted as students. Various interviewees mentioned that the case-study university lacks ethnic and racial data on the alumni base and other pertinent information about their giving to other entities as well as their philanthropic interests outside of the university. Without this type of information, the institution cannot strategically pursue major-gift-level Latino alumni or initiate their affiliating themselves with the institution.

The case-study institution also does not completely accomplish Gallo's (2012, 2013) second, third, and fourth steps in the IA cycle, which are building affinity, fostering engagement,

and securing support, respectively. Building affinity is described by Gallo as when an institution communicates with the alumnus through digital and printed newsletters, announcements, press releases, and other modes of communication. The findings mentioned in Chapter 4 from the case study reveal that though alumni do receive communications, they are not culturally relevant to Latino alumni nor do they show cultural competency, as revealed by three of the five respondents and in the researcher's own assessment of the materials. As such, the case-study institution is not successfully building affinity with major-gift-level Latino alumni. Fostering engagement, the third step in Gallo's cycle, is defined as engaging the alumnus in attending networking and social activities, as well as other events, hosted by the institution. Four out of the five respondents state that the case-study university has failed to consistently engage broad numbers of major-gift-level Latino alumni in any types of activities, including networking and social events, as well as one-to-one meetings with administrative leadership and/or faculty for decades. Though the Chicanx Latinx Alumni Association seems to have engaged its members who are Latino alumni in special events, their activities occur separate from the institution's development office—creating more of a demarcation for Latino alumni between them and their institution in contrast to connecting them to the broader institution. Without affiliating themselves with the institution, major-gift-level Latino alumni and the broader Latino alumni base in the case-study show that they have not built affinity to give to the university nor are they being engaged consistently by the institution. As a result, the case-study institution has failed to secure support from a broad number of Latino alumni to give major gifts, as is evidenced by the statistics presented in the philanthropy report from fiscal year 2015-2016 and affirmed by three of the five respondents.

This study's findings show that the case-study institution fails to engage major-gift-level Latino alumni in Gallo's IA cycle (2012, 2013.) First, the institution fails to define affiliation between the institution and Latino alumni, since it does not have any data on major-gift-level Latino alumni. The case-study institution also fails to build affinity with Latino alumni since the materials that are sent to alumni are not culturally relevant to Latino alumni. Plus, the case-study university fails to consistently engage major-gift-level Latino alumni in any types of activities. As a result of failing to engage major-gift-level Latino alumni in the IA cycle, the case-study university has failed to garner broad, financial support from Latino alumni.

Findings Related to the Research Questions

Though the institution has yet to achieve broad support from Latino major-gift-level donors, its practices can provide answers to the two research questions posed in this study, which are:

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?, and
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

The first question asks how the institution builds relationships with Latino major-gift-level alumni. The results indicate that the institution connects with and sustains relationships with Latino alumni in various ways. First, the four of the five respondents meet with Latino alumni in one-on-one meetings to learn more about the alumnus and to discern their interest level in and capacity to contribute to the institution. In addition, it is during these one-on-one

conversations that the development personnel and other institutional leaders build trust with the alumnus; during these intimate conversations, alumni share private personal information about their experiences while on campus, their finances, including their estate plans, as well as dynamics within their family that may impact their interest in giving to the university. A development professional gleans a lot of information from these meetings, all of which is used to create a tailored philanthropic contribution for the alumnus. In fact, the one-on-one meeting is a key part of any major-gift program. In the twenty-three years of my development career, it is the one common method used by all development operations to build a relationship with a potential and/or current donor. As such, that it is a part of the case study institution's approach indicates that they are replicating a practice that has shown to produce positive results across development programs at other institutions as well as the third sector overall. However, it is concerning that both major gift officers and the director of the Chicanx Latinx Student Development program state that these types of meetings have not occurred historically and are not occurring with Latino alumni. If the one-on-one meeting is one of the best practices to build relationships with donors, and if the institution is not investing more time in conducting these types of intimate meetings with Latino alumni, then the university risks compromising its ability to create relationships with that part of its donor base.

In addition to one-on-one meetings, the case study university also builds relationships with Latino alumni by providing them with opportunities to volunteer by serving on leadership committees. For example, the vice president of development shared that the three Latino alumni who provide major gifts to the institution all serve on an advisory council of the university. One is a participant in a group that meets regularly with the president of the university, and the other two participate in groups that connect with deans and other leadership on campus. The Chicanx

Latinx Student Development Program director shared that many major-gift-level donors who give to Chicanx Latinx Alumni Association serve on committees, which work in partnership with her to plan and executive the association's programming. Membership on these types of committees and advisory groups gives Latino alumni an inside access to the workings of the institution as well as to students and faculty. This inside access is exclusive and provides Latino alumni with opportunities to build relationships with individuals from the university other than the development personnel that meets with them regularly, and it provides alumni with insights about the university that they understand are not available to everyone. As the one-on-one meetings, this type of close interaction with the institution works to build trust with the alumni, thereby encouraging them to trust the university with their contributions. Plus, the practice of involving alumni in leadership groups and committees is a key part of most successful development programs, as I have learned in my person experience. Thus, its use at the university indicates that the program follows a best practice in the development field that has proven to be successful to build relationships with potential and current donors.

The case study university also produces and disseminates an annual report as another method to build relationships with Latino major-gift-level donors. The annual report, as described in Chapter Four, features a list of donors who support the institution at a major-gift or higher level, plus information about how contributions were used in the previous year as well as up-to-date information about the institution, such as enrollment, student demographics, and faculty accomplishments, among other information. The publication furthers relationships with Latino alumni by publicly recognizing their contributions to the institution among their peers and to the broader community of major-gift- and principal-gift-level donors. This practice also is a method used by most successful development programs which I have observed in my years as a

practitioner. Many individuals express feeling closer to their institution when the university recognizes them publicly for their contributions.

Lastly, the case-study institution builds relationships with Latino major-gift-level alumni through the Chicanx Latinx Alumni Association. By joining this alumni group, Latino alumni participate in events grounded in and informed by Latino culture and traditions, as shared by the Chicanx Latinx Student Development Program director in Chapter Four. Plus, considering that many of the Latino alumni knew and trusted the Chicanx Latinx Student Development Program director while they were students at the university, the association is a way for alumni to sustain a personal bond with the institution, and specifically with the Chicanx Latinx Student Development Program director. Unfortunately, since the alumni group operates separately from the institutional development program, and the two entities do not share a database or records of their interactions with Latino alumni, it is difficult to discern which Latino major-gift-level alumni participate in both the association's activities and those of the university development office or solely in those activities of one or the other, as well as what impact this separation may have on the alumni's perception of with whom they are building a relationship—the institution or the association. This particular topic could be researched further in a subsequent study.

The second research question posed in this study explores what specific strategies or techniques implemented by the institution build relationships with Latino alumni and help secure donations or pledges of $25,000 or more. In Chapter Four, all of the respondents revealed that the university does not follow any specific strategy to cultivate Latino alumni. So, this section will focus on specific techniques that respondents mention in their interviews as tactics they implement to build relationships with Latino alumni.

All respondents mention the gaining and maintaining of trust as a primary technique to encourage Latino alumni to contribute gifts, at a major-gift-level or higher, or below. The director of the Chicanx Latinx Student Development Program gains and sustains the trust of Latino alumni, both those who contribute large and small gifts, by creating community among them while they are students and after they graduate. A sense of community is created by hosting culturally relevant events for Latino alumni, which are described by the Chicanx Latinx Student Development Program director as events like a celebration of Día de los Muertos, a tradition rooted in Mexican culture that venerates the lives of loved ones who have died. She also continues to nurture a sense of community by maintaining consistent and personalized communications with the alumni. In addition, through its operations, the alumni association regularly engages the alumni who are members through monthly events and communications, which continues to generate and cultivate a sense of community.

The vice president for development states that the institution gains the trust of Latino major-gift-level alumni by providing them with "concierge access," which includes membership on exclusive boards, contact with the president of the university, the ability to enjoy campus tours that are personalized to an alumnus' interests and passions, and direct connection with students who have received support from their contributions. This type of access also provides major-gift-level Latino alumni with information about the institutions' budget and structure that may not be as easily accessible to alumni who are not giving to the institution at a high level. Thus, Latino major-gift donors enjoy a certain level of openness and transparency from the university that is exclusive to them and other major-gift-level or higher peers. This type of specialized treatment and access shows the Latino alumnus that he is a valued member of the university community, thereby, enhancing their sense of trust in the institution.

The major gift officers share in Chapter Four that they create trusting relationships with Latino alumni by learning about the broader history of Latinos at the university, including how the university's policies as well as state government laws may have negatively impacted Latino alumni during their years as a student at the institution. For example, as MG2 says, a state law in the 1990s limited the institution's ability to recruit and admit Latino students; many Latinos perceived this law as a way to limit their educational opportunities. Many Latino that gained admission to the university during that timeframe, express as alumni that they experienced racism from fellow students and faculty once they arrived on campus. This experience impacted their view of the institution, and thus, their ability to reconnect after graduation much less their interest in providing charitable contributions to the university. Knowing this history enables the major gift officers to acknowledge the negative experiences that many Latino alumni endured during their years on campus, thus creating an opportunity for a more trusted, authentic relationship between the major gift officer and the alumnus in which the alumnus' pain is recognized as an actual part of the university's past in contrast to solely being a perceived experience by the alumnus.

In addition to being aware of historical incidents and policies that impacted Latinx alumni during their student years on campus, all respondents said that they gain and maintain trust of Latinx alumni by being open to listening to the alumnus' critique of the university, whether for its past or current activities. Each respondent states in Chapter Four that by providing alumni with an opportunity to confide in them about the alumnus' perception of actions taken by the university, the development staff person shows that she is interested what the alumnus thinks and feels, as well as how the university can improve. Yet, it is important to note that the vice president of development, who is not Latinx but did admit to being open to

critique of the university by alumni, did not share any specific story or incident that a major-gift-level Latino alumni had confided to her, though the three Latina respondents (MG1, MG2, and the Chicanx Latinx Student Development Program director) each shared at least one or more stories. A subsequent study could explore if Latino alumni feel more comfortable critiquing the university to fellow Latino development personnel in contrast to personnel who they do not perceive as Latino.

By listening to the alumnus' critique, the development personnel also create authentic relationships with alumni that are based on the alumnus as a person not solely on the alumnus' ability or capacity to give to the university. Authentic relationships based on openness and honesty, as well as on the alumnus' specific interests in the institution enable the gift officers to elicit trust from the Latinx alumni. In fact, MG2 shares that one of the Latinx alumni with whom she has cultivated a trusting relationship is now connecting her to other Latinx alumni like himself who can give back to the institution. This reciprocity indicates that she has built trust with this alumnus, and that he trusts her to create an identical relationship with his personal contacts who also are alumni of the university.

In addition to gaining the trust of Latino alumni, the case study institution also provides specialized giving opportunities to Latino major-gift-level alumni as a way to build relationships with them that result in major gifts. MG1 mentions that the Latino alumni who have given major gifts to either the institution or the Chicanx Latinx Alumni Association, can make their gift as a family since many make their decision to give to the university through family consensus. So, instead of solely the alumnus making a pledge for $25,000 to an initiative, the alumnus' entire family could make the $25,000 pledge. In addition, Latino alumni who would like to limit their contributions to solely support Latino students can do so via the Chicanx Latinx Alumni

Association. This practice is not permittable by the case-study institution since it's a public institution and legally cannot restrict scholarship dollars on the basis of race or gender or other protected status. However, since the Chicanx Latinx Alumni Association operates separately from the institution, Latino alumni can exercise this option. The availability of these giving options provides flexibility to Latino alumni when they consider how they would like to make a major-gift-level contribution to the institution.

In summary, the case-study institution builds relationships with Latino major-gift-level alumni through one-on-one meetings, opportunities to volunteer by serving on leadership committees, disseminating an annual report that acknowledged donors' contributions, and the option to join the Chicanx Latinx Alumni Association. The institution, as revealed by all of the respondents, does not implement any specific strategies to build relationships with Latino major-gift-level alumni. However, it does apply certain techniques that do foster relationships with Latino alumni. The two primary techniques are: gaining and maintaining trust of the alumni and providing specialized giving opportunities for them. The institution gains and maintains the trust of Latino alumni by: creating community, as done by the Chicanx Latinx program director; providing "concierge access," as shared by the vice president of development; knowing the history of the institution in regards to the experience of Latino students; being open to critique of the institution by Latino alumni; and by creating authentic relationships with Latino alumni based on their person in contrast to their ability or capacity to give. The institution provides specialized giving opportunities through its Chicanx Latinx Alumni Association, in which an alumnus can target its contributions solely for Latino students and/or programming. Also, through both the association and institution, alumni have flexibility in terms of how they would like to process their gift; a pledge can be made by an individual or by a family. These techniques

enable the case-study institution to build and sustain relationships with Latino alumni that result in successful solicitations of $25,000 or more.

Surprises

Surprisingly, despite the case-study university's failure to engage the broader Latino alumni base as well as those who can give major gifts in Gallo's (2012, 2013) IA cycle, the institution university has been able to secure support from a small number of Latino alumni who possess great wealth, as described by one of the respondents who works with principal-gift-level donors. These Latino principal-gift-level donors, in contrast to other Latino alumni, have been engaged and solicited successfully for financial support. Plus, according to the vice president of development, they have not expressed any negative emotions or lack of trust in the institution. They also receive recognition in the annual philanthropy report and access to university leadership such as the president, deans, and other high-level administrators. This successful engagement of Latino elite alumni aligns well with Perez and Murray (2016) who found that Latino elites experience the same benefits as white elites when serving on prominent nonprofit boards. So, though the case-study university may not be building a base of support among Latino alumni, it could still benefit from participation from a small group of elite Latino alumni, especially those who are recruited to volunteer leadership groups such as advisory councils and boards by other elite non-Latino or Latino alumni of the institution. Yet, as stated in Chapter 4, though these principal-gift-level Latino alumni are being engaged and successfully solicited, they represent less than .1% of the broader alumni base, both non-Latino and Latino, who are currently giving major gifts or principal-gift-level contributions to the institution.

Significance

The case-study university was chosen because it represents a purposeful sample of most public higher education institutions. The findings from this study indicate that relationships with Latino major-gift-level alumni are built through one-on-one meetings, providing opportunities for Latino alumni to serve on leadership committees and join affinity groups like the Chicanx Latinx Alumni Association at the case-study university, in addition to disseminating an annual report that acknowledges donors' contributions. Strong relationships also are built by the implementation of certain techniques, including: gaining and maintaining trust of the alumni and providing specialized giving opportunities for them. The institution gains and maintains the trust of Latino alumni by: creating community among Latino alumni, providing them with "concierge access," knowing the history of the institution regarding the experience of Latino students, being open to critique of the institution by Latino alumni, and by creating authentic relationships with Latino alumni. Latino alumni also should have flexibility in terms of how they would like to process their gift.

The study also shows that if other public, four-year, Tier 1, research universities fail to engage major-gift-level Latino alumni in the Gallo (2012, 2013) IA cycle of engagement, then like the case-study institution, they will fail to gain financial support—especially major gifts—from a broad base of Latino alumni. They may be successful, as the case-study university, in cultivating and soliciting a small group of principal-gift-level Latino alumni, but without building a broader base, the institutions may find that the number of principal-gift-level Latino alumni will decrease. At this time, since the percentage of Latino among the overall alumni base is small, this loss of financial support does not pose a dangerous threat to the institution's overall budget. However, as the years progress and the percentage of the Latino alumni at this and other

public institutions grows (National Center for Education Statistics, 2014), if these universities continue to not engage Latino alumni then they will lose financial support from what will eventually be a majority of their alumni base. Considering the importance of alumni support to the bottom-line of all public institutions (Blackbaud, 2013; Council for Aid to Education, 2015; Marr, Mullin, & Siegfried, 2005), public institutions like that of the case-study should engage their major-gift-level Latino alumni now in order to ensure that their support will help offset the lack of federal and state funding that is sure to persist in the future.

In addition to the case-study institution's successful solicitation of a small group of principal-gift-level Latino alumni, I also am surprised by the existence of a separate alumni association for Latino alumni, especially one that not only operates independently from the institution but also from the mainstream alumni association. This double detachment of Latino alumni from the university fundraising program is rather unique to this large, public, four-year institution. I believe that it represents a great challenge to this university as it proceeds to try to connect with the larger Latino alumni base, as well as major-gift-level Latino alumni who are members of the association. For example, at this time, if a member of the Chicanx Latinx Alumni Association makes a major- or principal-level gift to benefit the university, the alumnus is not mentioned in any of the materials that they development office uses to thank their supporters nor is it mentioned in the overall philanthropy report of the institution. As such, the donors are not properly being acknowledged or thanked by the institution or by their peers who are not members of the Chicanx Latinx Alumni Association but who give through the university development office or the mainstream alumni association. As such, these Latino alumni who see themselves as donors to the university are not receiving the same recognition as other non-Latino donors to the institution. This lack of recognition and acknowledgement could further distance

the Latino alumni from affiliating with their alma mater. This challenge raises some questions regarding the future relationship between Latino alumni and the institution. For example, if Latino alumni identify more with the Chicanx Latinx Alumni Association than with their university's fundraising program, how likely are they to respond to any potential engagement by the university's development program, even if the institution works to obtain culturally relevant materials and a diverse, gift-officer personnel? What will happen to those potentially affluent Latino alumni who do want to participate philanthropically in their alma mater?

Conclusions

Recommendations for Development Programs of Higher Education Institutions

Considering the findings of the case-study, I propose some recommendations, or implications for action, for development programs of higher education institutions regarding how to engage Latino alumni to successfully solicit major gifts of $25,000 or more. My recommendations are an amalgam of the results presented in Chapter 4 as well as results from previously published studies presented in Chapter 2. First, development programs should be able to identify Latino alumni. Second, Latino alumni should be integrated into the university's overall major gift fundraising cultivation activities. Third, higher education institutions should solicit and steward Latino alumni for major gifts in a culturally relevant manner and by building authentic relationships with them that acknowledge historical events that occurred at the university that that may have negatively impacted Latinos as students.

Identify Latino alumni: leveraging networks and improving databases. In order to identify Latino alumni, higher education institutions could leverage their current Latino alumni major-gift donors by engaging them in conversations about their networks, which could include other Latino alumni who could provide support at the same level or at a higher level. Both

Vallejo (2015) and one of the major-gift-officer respondents state this approach as a successful way to identify Latino alumni prospective donors. Institutions also should consider improving their databases so that they contain detailed facts about their alumni, including race and ethnicity and information regarding what programs alumni support. This recommendation is supported by the respondents in the case study as well as by Gallo's (2012, 2013) framework as an important component of donor cultivation toward major gift solicitation.

In addition, I advise that higher education institutions partner with their alumni associations to share their alumni data, especially if the alumni associations operate independently from the university. For example, at the case-study institution the Chicanx Latinx Alumni Association should consider sharing its members' data with the institution. As a result, the Latino donors who are currently giving to the association, could be identified and thus recognized in institutional publications and by institutional leaders. Latino donors also could be surveyed regarding their interests and habits; thereby providing a base-line of information for development professionals to design an authentic, well-researched, culturally competent strategy that connects to and gains the trust of Latino alumni. Ultimately, all entities involved would benefit from this data integration; the association and the institution could leverage their distinct resources (budget and personnel) to design an overall, shared strategy to cultivate Latino alumni that would be mutually beneficial to the association and the institution. Plus, the Latino alumni would receive equal stewardship and recognition by the institution, which could result in additional giving.

Integrating Latino alumni into university-wide major-gift cultivation efforts. Once identified in shared databases, Latino alumni could be engaged by integrating and embedding them into the university's overall major-gift fundraising cultivation activities. In fact, the case-

study respondents argue for an integrated engagement strategy in their responses as presented in Chapter 4. Studies in the literature also support this recommendation. For example, Chung-Hoon's (2007) study, which used a donor /organization integration model (DOIM), found that institutions with the highest level of alumni giving possessed high relational embeddedness and formal interactions between alumni and the institution's leadership, as well as the highest average number of inner circle relationships between alumni and institutional administrators and trustees. By embedding Latino alumni donors and prospective donors into closer relationships with institutional leaders and other alumni, higher education institutions could see a higher level of engagement and giving by Latino alumni.

These relationships can be forged through one-on-one meetings between Latino alumni and institutional leaders as well as events and programs that are culturally competent and authentic. The later types of interactions do not need to occur separately from mainstream activities. In fact, I recommend that current engagement activities be improved to include more culturally competent content than creating separate engagement events for Latino alumni or other alumni of color. Integration in contrast to separation could enable Latino alumni to better trust their institutions, which Royce and Rodriguez (1999), Lucka (2015) and Cortés (2002) affirm as well as three of the four respondents in the case study.

Solicit and steward Latino alumni in authentic, culturally relevant ways. Finally, higher education institutions should consider soliciting for and stewarding Latino alumni for major-gift support and doing so in a culturally relevant manner. All of the respondents in the case study affirm that Latino alumni need to be engaged more by the university development team as well as by its leaders in authentic, culturally-relevant and authentic ways. This idea is affirmed by Gasman and Bowman (2013) and other researchers cited in Chapter 2. In fact,

Royce and Rodriguez (1999), Lucka (2015), and Cortés (2002) recommend that institutions consider having current Latino alumni donors solicit potential Latino alumni donors, especially if they know one another and share professional and/or personal networks. This type of strategy yielded the greatest fundraising success in their studies.

Ultimately, the presented recommendations for practice to successfully engage and solicit Latino alumni are not too different from what Gallo (2012, 2013) and Chung-Hoon (2007) recommend for any successful development program, whether or not it focused on Latino alumni or other alumni of color. The only difference is the recommendation that higher education institutions integrate Latino alumni in their overall strategy and that the integration be culturally competent and authentic. This approach could result in an increase in Latino alumni who trust their institutions with their financial support and who feel appreciated for their participation as well as their contributions to the university.

Recommendations for Future Research

The descriptive, exploratory case-study of the development program of the selected four-year, public, Tier One research university provides some insights regarding how higher education institution development programs engage Latino alumni to give major gifts to their institutions. Yet, there are various other research questions connected to the proposed questions that could be further explored in additional studies. For example, similar case-study designs of other development programs at similar institutions could be implemented and then compared to ascertain if the current case-study findings are congruent with those of other institutions of similar size and scope. A quantitative survey design could examine specific ways that development officers, both those working with principal-level and major-gift level donors, do or do not engage Latino alumni in their overall fundraising strategies. Also, a comparative study

could be conducted that investigates the difference between a development program that has successfully raised major-gift funds from Latino alumni for a duration of time in contrast to an institution that has experienced marginal to no success. Additional studies could explore if using Spanish-language or bilingual in printed materials and interactions between major gift officers and Latino alumni have any impact on giving. Also, added research could investigate the differences in levels of giving among first-, second-, and third- or more generation Latinos. These potential studies represent some of the questions that arose for me during the current case-study analysis.

Concluding Remarks

The findings from this study indicate that relationships with Latino major-gift-level alumni are built through one-on-one meetings, providing opportunities for Latino alumni to serve on leadership committees and join affinity groups like the Chicanx Latinx Alumni Association at the case-study university, in addition to disseminating an annual report that acknowledges donors' contributions. Strong relationships also are built by the implementation of certain techniques, including: gaining and maintaining trust of the alumni and providing specialized giving opportunities for them. The institution gains and maintains the trust of Latino alumni by: creating community among Latino alumni, providing them with "concierge access," knowing the history of the institution regarding the experience of Latino students, being open to critique of the institution by Latino alumni, and by creating authentic relationships with Latino alumni. Latino alumni also should have flexibility in terms of how they would like to process their gift.

The findings also suggest that if other public, four-year, Tier 1, research universities fail to engage major-gift-level Latino alumni in the Gallo (2012, 2013) IA cycle of engagement, then like the case-study institution, they will fail to gain financial support—especially major gifts—

from a broad base of Latino alumni. They may be successful, as the case-study university, in cultivating and soliciting a small group of principal-gift-level Latino alumni, but without building a broader base, the institutions may find that the number of principal-gift-level Latino alumni will decrease. As the years progress and the percentage of the Latino alumni at this and other public institutions grows (National Center for Education Statistics, 2014), universities should consider improving their current development programs so as to better engage and solicit Latino alumni in order to ensure that their support will help offset the lack of federal and state funding that is sure to persist in the future (Conley and Tempel, 2006).

Appendix A: RQ/data table

Research questions

1. How does a development team at a Tier 1, four-year, public higher education institution build relationships with Latino alumni to secure donations or pledges of $25,000 or more?
2. How does a development team at a Tier 1, four-year, public higher education institution use specific strategies or techniques to build relationships with Latino alumni and secure donations or pledges of $25,000 or more?

Data table

RQ	Data source 1	Data source 2	Data source 3
RQ 1	Interviews from selected site	Observations of gift officer with alumni	Document review of fundraising materials from selected site
RQ 2:	Interviews from selected site	Observations of gift officer with alumni	Document review of fundraising materials from selected site

Appendix B: Interview Protocol #1

(*Tentative – More questions may be added at a later date.)*

Vice President of Development/Advancement Interview Protocol

Introduction – Thank you so much for participating in this study. The purpose of this study is to explore how development personnel at public higher education institutions cultivate relationships with Latino alumni. Your identity will not be revealed in the analysis or the reporting of the data. In order to allow for the best data capture, I would like to record our conversation. I am the only person who will have access to this material, and I will keep our conversation confidential. If at any time you would like to stop the interview, please let me know.

The interview will take about an hour.

Interview 1 Questions

1. Please tell me about yourself. How did you become a fundraiser?
2. How do you define a successful university development program?

Hypothetical

1. If you were one of your Latino alumni who has given a major gift to your university, how do you think that alumnus would describe his/her relationship to you and your development team?
2. If you had an unlimited budget, what strategies would you implement to cultivate Latino alumni who are currently major gift donors? How about those who you wish to become major gift donors?

Opposing Views

1. How have you failed in cultivating Latino alumni to become major gift donors? Your university?
2. What strategies have not proven successful in the cultivation of Latino major gift donors?

Ideal Situations

1. Please describe the ideal relationship between your university and Latino alumni who provide major gifts to the institution.
2. Please describe the ideal relationship between you and Latino major gift donors.
3. What are ideal ways that your university connects with Latino alumni who are major gift donors? Your development team?

Interpretative

1. How would you characterize one of your more long-term relationships with a Latino major gift donor?
2. How would you characterize your institution's relationship with Latino alumni who are major gift donors?

Closing

Appendix C: Interview Protocol #2

(Tentative – More questions may be added at a later date.)

Development Officer Interview Protocol

Introduction – Thank you so much for participating in this study. The purpose of this study is to explore how development personnel at public higher education institutions cultivate relationships with Latino alumni. Your identity will not be revealed in the analysis or the reporting of the data. In order to allow for the best data capture, I would like to record our conversation. I am the only person who will have access to this material, and I will keep our conversation confidential. If at any time you would like to stop the interview, please let me know.

The interview will take about an hour.

Interview 2 Questions

1. Please tell me about yourself. How did you become a fundraiser?
2. How do you define a successful university development program?

Hypothetical

1. If there were no budget limitations at your institution, what would you do to successfully cultivate Latino alumni to contribute major gifts to your university?
2. If you were the vice president of development and leading your university's development strategy, how would you design a fundraising program that would successfully cultivate Latino alumni to contribute major gifts to your university?

Opposing Views

1. How have you failed in cultivating Latino alumni to become major gift donors? Your university?
2. What strategies have not proven successful in the cultivation of Latino major gift donors?

Ideal Situations

1. Please describe the ideal relationship between you and Latino major gift donors.
2. Please describe the ideal development program that successfully cultivates Latino alumni to contribute major gifts.
3. Please describe the ideal gift officer who can cultivate Latino alumni to become major gift donors.

Interpretative

1. How would you characterize one of your more long-term relationships with a major gift donor?
2. How would you characterize your institution's relationship with Latino alumni who are major gift donors?

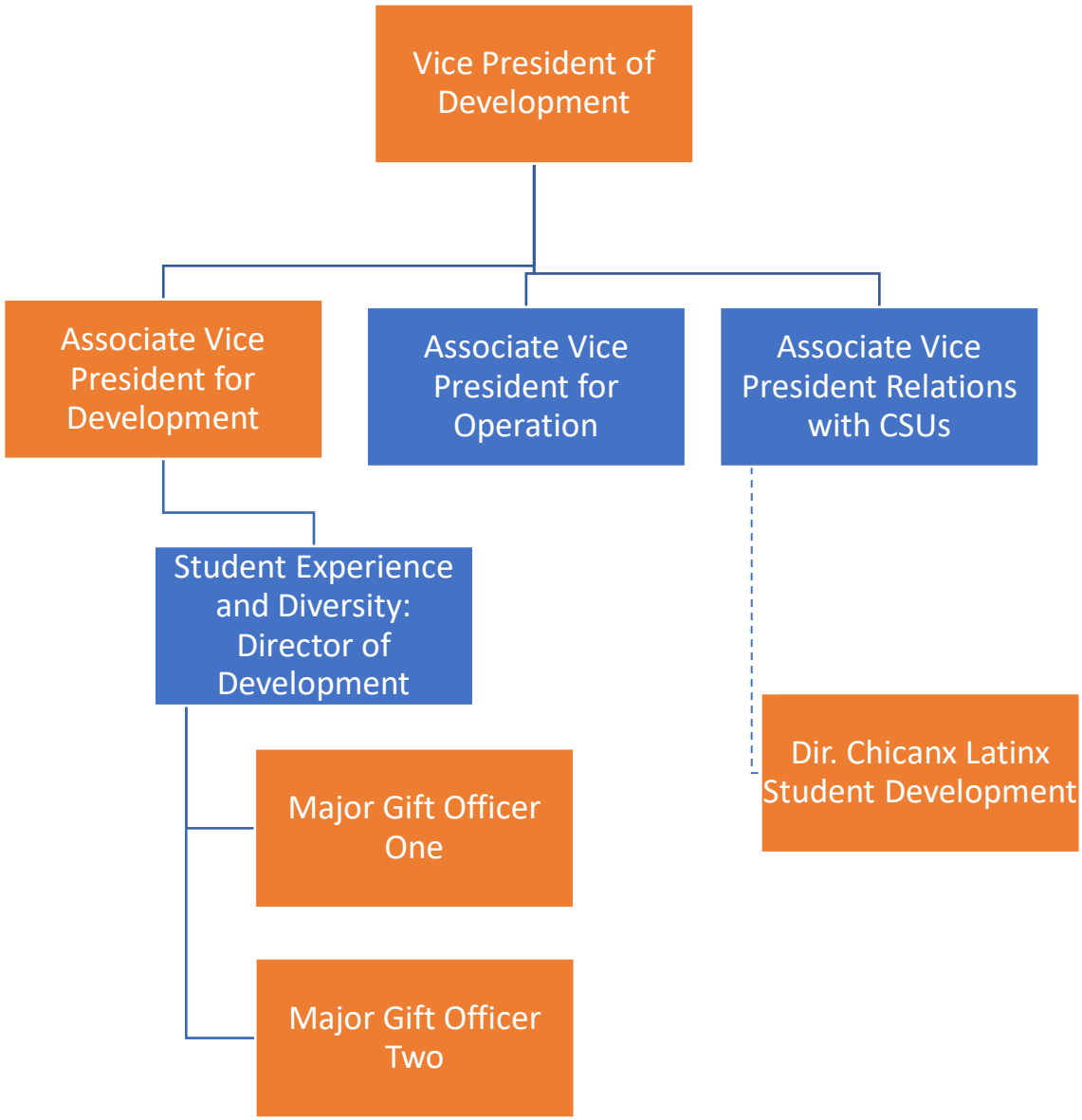
Closing

Appendix D: Table 1: Interview Respondent Codes

	Vice Pres. Dev.	Assoc. VP Dev.	Chnx Ltx AR	MG1	MG2
Codes					
Prior experience of interviewee: Area where worked before and experience					
Nonprofit	x	x	x	x	x
Academic affairs			x		x
Alumni relations	x	x	x	x	x
Annual Fund	x	x	x	x	
Latino alumni relations			x	x	
Major gift fundraising from individual alumni	x			x	x
Fundraised major gifts from Latino alumni	x			x	x
Hypothetical Situation: If no budget limitations what would do					
Hire more ethnically diverse and/or bilingual front-line gift officers who are culturally competent	x		x	x	x
More multicultural & multilingual approach to communications, including website			x	x	x
Opposing Views: How has the institution failed Latino alumni					
Lack of previous engagement of Latino alumni by development office		x	x	x	x
Lack of comprehensive strategy by institution to cultivate Latino alumni as major gift donors		x	x	x	x
Lack of data on Latino alumni base		x		x	
Lack of cultural competency: staff and overall approach			x	x	x
Ideal Situations: Ideal Development program to cultivate Latino alumni					
Culturally competent staff and approach that is historically contextualized	x		x	x	x
Relationship-focused in contrast to transactional	x	x	x	x	x
Strategic and integrated with overall development operation and alumni groups		x	x	x	x
Acknowledge Latino alumni's history and experiences on campus		x	x	x	x
Creates and instills trust in Latino alumni			x	x	x
Community building and collective fundraising opportunities		x	x		x
Connects with Latino students and then continue to engage as alumni			x	x	
Hybrid fundraising approach: engagement programming and traditional fundraising	x	x	x		x
Approach informed by (not led by) more detailed data on Latino alumni			x	x	x
Interpretative: How would they characterize Latino alumni's relationship to institution					
Many Latino alumni don't want to give to institution	x	x	x	x	
Many Latino alumni lack trust in university development office			x	x	X
Many Latino alumni had bad experiences (racist, sexist, etc.) at institution during time as student	x	x	x	x	X

	Vice Pres. Dev.	Assoc. VP Dev.	Chnx Ltx AR	MG1	MG2
Some major gift Latino donors feel like the only Latino in spaces with other major gift donors	x			x	X
Some Latino alumni felt like the only person of color in the classroom as a student	x	x		x	
Principal-level Latino alumni donors feel being cultivated and stewarded like other alumni giving at same level	x			x	X
Latino alumni association not integrated into development or alumni assoc.	x		x		X

Appendix E: Figure 2: Structure of Institution's Development Program



Note: Interviewees are shaded in orange.

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